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**2005 - 2006**

**CIVIL GRAND JURY**

**REPORTS**



**CITY AND COUNTY OF  
SAN FRANCISCO,  
CALIFORNIA**



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# CITY AND COUNTY OF SAN FRANCISCO GRAND JURY

## OFFICE

400 MCALLISTER ST., ROOM 008  
SAN FRANCISCO, CA 94102  
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June 30, 2006

The Honorable Robert L. Dondero  
Presiding Judge of the Superior Court  
400 McAllister Street, Department 206  
San Francisco, CA 94102

Dear Judge Dondero:

The 2005-06 San Francisco Civil Grand Jury approached its service with commitment and dedication, and respectfully submits its final reports. The members of the jury were grateful for the opportunity to be of service to the County.

We hope and expect that future hearings before the Board of Supervisors, and various Commissions, and the written responses from the named respondents will reflect the deliberateness and attention to detail that were evident in these reports.

We would like to bring special attention to suggestions in our Continuity Report. We feel that an effective way to record and update the status of recommendations by a Civil Grand Jury would be by means of a tracking document. Together with the Mayor's Office and the Controller's Office the 2005-06 Civil Grand Jury developed such a document to be used by future Continuity Committees. It would make follow-up responses and follow through efforts easier and more thorough.

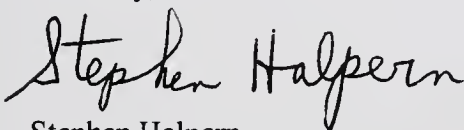
We wish to express our sincere appreciation to Gary Giubbini. He was unfailingly helpful and cheerful in performing his duties. When needed, Barbara Compton was equally efficient.

Special acknowledgement is extended to Deputy City Attorney Dorji Roberts. His insightful comments to our reports were invaluable.

City employees contacted during our investigations have been cooperative and respectful of the dedication and competence of the jurors. We are grateful to them for their cooperation.

We also wish to express our sincere appreciation to you for your guidance and genuine interest and attention.

Sincerely,



Stephen Halpern

Foreperson

2005-06 Civil Grand Jury



The Members of the 2005 – 2006 Civil Grand Jury  
For the City and County of San Francisco

Beate C. Boultinghouse

Jean Ellingsen

Harold W. Feuchter

Stephen Halpern, Foreperson

Thomas Lo

Michael A. Lusse

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Christopher Stockton

Joan B. Trauner

Howard Wong, AIA









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2005-2006 Civil Grand Jury  
City and County of San Francisco

**DISASTER PLANNING:  
THE REALITIES OF  
EMERGENCY / DISASTER MEDICAL PREPAREDNESS  
IN SAN FRANCISCO**

Report Released: May 2006



## Purpose of the Civil Grand Jury

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco to develop constructive recommendations for improving their operations, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which departments, agencies and officers it will investigate during its one year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee conducts its research by visiting government facilities, meeting with public officials, and reviewing appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at:

[http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680); or by contacting: Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## State Law Requirement

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or provide identifying information about individuals who spoke to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. For each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was implemented; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, sections. 933, 933.05).

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## PURPOSE OF THIS REPORT

The intent of this report is to evaluate the ability of the City and County of San Francisco to respond to the medical needs of its citizenry during a mass disaster/emergency; and to make recommendations to improve citywide preparedness, including the collaboration of the public and private health sectors.

## I. SUMMARY

“Preparedness is the responsibility of every American.”<sup>1</sup>

In response to problems identified in the handling of the September 11, 2001 and Hurricane Katrina disasters, this report evaluates medical emergency preparedness in San Francisco. The report begins with an overview of how emergency medical services are delivered, focusing on the roles of the Disaster Council, the Office of Emergency Services and Homeland Security (OES/HS) and the Department of Public Health (DPH). San Francisco’s healthcare delivery system in the public and private sectors is described, with a detailing of the city’s vulnerabilities in a mass disaster.

Key findings and recommendations relate to seven broad topics, as follows:

- 1. Strategic Planning:** San Francisco lacks a coherent strategic planning process for delivery of emergency medical services. Instead planning has been reactive, focusing on federal grant application requirements and benchmarks. Input from the private hospitals has been missing from the process, yet the private sector provides 80% of the hospital care in the city. The Mayor should expand the Disaster Council to include private sector members; the Disaster Council should have high-level work groups, organized by subject matter, feeding information into a “Master Strategic Plan.”
- 2. Organizational Structure:** Delivery of emergency services is hampered by the City’s bureaucratic structure; namely, information does not flow readily within or across city departments or agencies. This Civil Grand Jury identified the need for a high-level cabinet or clearinghouse to share ideas. Work groups under the Disaster Council could serve as a potential vehicle for such information-sharing.
- 3. Leadership:** To effectively coordinate emergency medical preparedness, a single articulate voice should oversee the delivery of care in the public and private sectors after a mass disaster. This individual should be a medical expert, with a proven track record of strong and effective leadership in the private or governmental sector. The

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<sup>1</sup> Jim Hahn, Los Angeles Mayor, August 2, 2004 Press Release, Quoting Los Angeles Fire Department Chief William Bamattre, accessed on April 3, 2006, <<http://www.laobserved.com/archive/002286.html>>.

position should be located at OES/HS for maximum visibility; an alternative, but less preferable option, would be to locate the position at DPH.

4. **Surge Capacity:** The ability of hospitals to expand services in a disaster (known as “surge capacity”) is critical for emergency preparedness. Hospital representatives that were interviewed expressed concern that their emergency departments would be overwhelmed in a disaster, both by the seriously ill and by patients with non-acute conditions. Non-acute patients need to be diverted to alternative sites, such as local clinics, which in turn must have appropriate procedures for accepting referral patients. Hospitals and clinics need to participate in annual city-wide drills to test their ability to handle a large surge in patients.
5. **Training and Drills:** Emergency drills require prompt issuance of After Action Reports, detailing problems identified during the drills to ensure timely corrective action. Provided in this Civil Grand Jury report are details on drills held in October and November, 2005, where After Action Reports were released many months later.
6. **Communications and Information Technology:** The City is in need of a detailed communications work plan to cover, at minimum, three problem areas: phones, sirens and the development of a 311 call center (to alleviate misuse of 911). City departments should regularly update and distribute contact information for key emergency personnel. Contact lists for key personnel at hospitals also need to be regularly distributed.
7. **Public Information and Education:** The City should implement a mass media campaign to inform San Franciscans about the realities of a potential disaster and the necessary steps to take in deciding where to seek medical care. Six critical messages to include in the campaign are described. Recommendations for upgrading the [www.72hours.org](http://www.72hours.org) Web site are also made.



## II. INTRODUCTION

“Since the Fall 2001 terrorism attacks, there has been a flurry of activity focused on the preparation of emergency preparedness plans. The emphasis on plans substantially understates what are really needed – emergency preparedness programs.... [T]his level of preparedness implies a tightly knit system among the key emergency preparedness participants that simply does not exist in most communities today.”<sup>2</sup>

There has been much publicity about the chaos and suffering in New York City following September 11, 2001, and in New Orleans during and after Hurricane Katrina in August 2005. Given the documented problems in New York City and New Orleans, the Civil Grand Jury decided to investigate just how prepared the City and County of San Francisco is for a catastrophe, whether that be an earthquake, terrorist attack, or any other disastrous event. We have focused on the health aspects of this preparedness with special reference to the Department of Public Health and the Office of Emergency Services and Homeland Security. However, caring for the sick and injured does not occur in a vacuum. Therefore, this report will also touch on the readiness of the San Francisco Fire Department (SFFD) and San Francisco Police Department (SFPD) to support medical preparedness.

This report is in no way meant to find blame, accuse, or denigrate any individuals or city departments/offices for the shortcomings or gaps in preparedness identified in this report. It is our intent to inform and educate. During our investigation, we learned about significant improvements in emergency preparedness since the last investigation by the Civil Grand Jury in 2002-2003.<sup>3</sup> The Civil Grand Jury is pleased to report notable progress in securing federal grants, in regional planning, and in the provision of administrative services. Nevertheless, deficiencies remain, particularly in the areas of strategic planning, interdepartmental communications, and the integration of preparedness efforts in the public and private sectors. This report identifies challenges facing city government as it seeks to improve its emergency planning process.

In evaluating medical preparedness, the Civil Grand Jury has benefited from the extensive studies conducted since Hurricane Katrina destroyed much of New Orleans. In particular, two lengthy reports, one by a U.S. House of Representatives Select Bipartisan Committee, *A Failure of Initiative*<sup>4</sup>, and the other by the White House, *The Federal Response to*

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<sup>2</sup> Joint Commission on Accreditation of Healthcare Organizations, *Health Care at the Crossroads: Strategies for Creating and Sustaining Community-wide Emergency Preparedness Systems*, 2003, p. 6.

<sup>3</sup> “*It’s A Catastrophe: The State of Emergency Planning in San Francisco*,” A Report of the 2002-2003 Civil Grand Jury, June 19, 2003.

<sup>4</sup> U.S. House of Representatives, 109<sup>th</sup> Congress, 2<sup>nd</sup> Session, *A Failure of Initiative: Final Report of the Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina*, accessed on February 15, 2006, <[www.gpoaccess.gov/congress/index.html](http://www.gpoaccess.gov/congress/index.html)>.

The contents of this report reflect the status of medical emergency preparedness in San Francisco as of April 5, 2006. As noted earlier, unspent federal grant monies will expire in December 2006, while future monies involving regional collaboration will be greatly reduced. Given the potential loss of federal funds at year end, city departments involved with preparedness are currently speeding up their planning, purchasing and contracting efforts. Therefore, some details provided in this report may change within a short period of time, but the overall recommendations in the report will still need to be addressed.

## IV. BACKGROUND

The background information presented in this section looks briefly at the likelihood of San Francisco facing a major disaster. It then outlines the organization of emergency services in San Francisco and describes the City's health care delivery system.

### A. Possibility of a Mass Disaster

As a financial and commercial center and a city with well-known tourist sites, San Francisco has been identified by the DHS as a potential terrorist site. Within the realm of possibility are deployment of hazardous chemical materials in the Bay Area Rapid Transit System or the Municipal Railway System (MUNI), dissemination of aerosolized biological agents (in the form of ultramicroscopic solid or liquid particles) in public buildings or restaurants, or a bomb attack on a major building or city location.

San Francisco also faces the probability of a major earthquake devastating the city and surrounding communities. The United States Geological Services has reported that "there is a 62% probability of at least one magnitude 6.7 or greater quake, capable of causing widespread damage, striking the San Francisco Bay region before 2032."<sup>10</sup> For the San Andreas Fault, considered "the master fault of the San Francisco Bay Region," the probability is 24%, with a rupture of 7.5 or more at 9%.<sup>11</sup> Given anticipated damage to local streets, freeways and bridges, and the fact that San Francisco is located on a peninsula surrounded by water on three sides, there are significant issues regarding access to medical services and reliance on mutual aid from surrounding counties.

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<sup>10</sup> Working Group on California Earthquake Probabilities, *Executive Summary: Earthquake Probabilities in the San Francisco Bay Region: 2002-2031*, U.S. Geological Survey, Open-File Report 03-214, accessed on March 31, 2005, <<http://pubs.usgs.gov/of/2003/of03-214>>.

<sup>11</sup> *Ibid.*, at 6:7.

## B. Organization of Emergency Services in San Francisco

The San Francisco Administrative Code stipulates “an emergency shall exist when proclaimed by the Mayor.”<sup>12</sup> The Mayor, in turn, is the chair of the Disaster Council, which currently is composed of 22 to 30 additional members.<sup>13</sup> Members of the Disaster Council include officers from those departments involved with emergency preparedness, as well as three members from the Board of Supervisors, the Office of the Controller and a representative from the American Red Cross. The Mayor has the authority to appoint “other representatives of civic, business, labor, veterans, professional, or other organizations having an official emergency responsibility,” but none are currently serving on the Disaster Council.<sup>14</sup>

The Director of OES/HS is the executive secretary of the Disaster Council, which meets quarterly. The Disaster Council is responsible for developing an emergency plan for the “effective mobilization of all the resources of the community, both public and private.” It also is empowered to recommend to the Board of Supervisors such ordinances, resolutions, rules and regulations necessary to implement the city’s emergency plan.<sup>15</sup>

OES/HS has responsibility for coordinating the emergency activities of the various city departments. During the past four years, these activities have been primarily supported through a federal allocation of approximately \$82.7 million in grants. (Twenty-one out of twenty-six positions at OES/HS are currently funded through federal monies.) OES/HS maintains an Emergency Operation Center (EOC) to coordinate emergency response activities to be carried out by the Mayor and designated city departments, including the Department of Public Health, the Fire Department, the Police Department, and the Sheriff’s Department. On the OES/HS Web site is the City’s 107 page *Emergency Operations Plan*, dated January 2005. This plan defines five key components to emergency preparedness: training, conducting exercises, emergency planning, public education and awareness, and resource management.<sup>16</sup> However, less than two pages deal explicitly with medical services and public health during an emergency; instead the plan delegates these responsibilities to DPH.

Specific DPH responsibilities in an emergency include allocating available medical resources in the public and private sectors, prioritizing requests from healthcare providers, obtaining mutual aid from surrounding areas, and determining the impact of any disaster on the healthcare infrastructure in San Francisco. DPH is also responsible for handling emergency responses to environmental, chemical, radiological, nuclear, explosive and infectious disease events. Two entities within DPH handle emergency preparedness. The Office of Policy and Planning (OPP), prepares grant applications to various federal agencies, writes DPH’s own *Emergency Operations Plan*, and manages overall disaster planning. The Emergency Medical Services Agency (EMSA) oversees the regulation of emergency medical technicians (EMTs) and paramedics, maintains a patient disaster registry for the elderly and disabled, and establishes

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<sup>12</sup> San Francisco Administrative Code, Ordinance 275-05, Approved November 30, 2005, sections 7.1-7.18.

<sup>13</sup> San Francisco Office of Emergency Services and Homeland Security, Disaster Council, *Revised Meeting Agenda*, January 11, 2005, lists 22 members plus the Mayor. The distributed Agenda on January 17, 2006 lists 30 members, plus the Mayor.

<sup>14</sup> San Francisco Administrative Code, Section 7.3(d).

<sup>15</sup> *Ibid.*, at 7.4(a) and (b).

<sup>16</sup> City and County of San Francisco, *Emergency Operations Plan: Part I: Basic Plan*, January 2005, p. 2-2.



standards for a broad range of emergency services including communication, transportation, hospital services, data collection, public education and information. In recent years DPH has been awarded \$18.6 million in federal grants and has added approximately twenty staff positions dedicated to disaster preparedness.<sup>17</sup>

The mission of the SFFD, apart from its traditional firefighting role, is to save lives by providing emergency medical and rescue services. Out of a total of 1,670 firefighters, 238 individuals are trained as paramedics and 1,118 as EMTs; in effect, four out of every five firefighters (81.2%) have been trained to provide emergency medical services. SFFD currently operates 19 Medic Units on a 24-hour basis, plus one or two ambulances operating on a ten hour basis.<sup>18</sup> The department has received federal funding for an Emergency Structural Collapse Response Team to rescue individuals trapped in fallen structures. The SFFD also supports the Neighborhood Emergency Response Team (NERT) program to provide disaster training to San Francisco residents.

Each city department has its own emergency plan and its own disaster command center. A major issue facing all departments is the fact that a high percentage of city employees, as well as hospital/medical personnel, do not live within San Francisco city limits. For example, out of a total SFFD force of 1,600, approximately 65% reside outside of San Francisco. Depending on the kind of emergency, the day of the week, and the time of day, basic services may be curtailed until employees return to the city.

California Government Code Section 3100 designates all public employees as Disaster Service Workers (DSW), regardless of their job classification. OES/HS has developed a program, "Operation Safe Return," to facilitate transportation of city workers and hospital/medical personnel by ferry if bridges and roadways are damaged or impassable. The city's plan assumes that ferries will land passengers at the Ferry Building. From there, MUNI will have three routes that pass within a few blocks of every hospital in the city.

As of March 25, 2006, the City's Department of Human Resources has produced over 20,000 employee badges for city workers to identify them as DSW. The City plans to supply all city workers with the new badges by the end of April 2006.<sup>19</sup>

Going forward, as federal funding for emergency preparedness diminishes and regional planning is stressed, the sustainability of the City's existing emergency programs becomes an issue. Staffing cutbacks at OES/HS and DPH seem inevitable since some 40 positions in these two departments are funded entirely through federal grants.

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<sup>17</sup> Department of Public Health, Report on Homeland Security/Disaster Preparedness and Response Activities, *Report to the Health Commission*, April 4, 2006.

<sup>18</sup> Joanne Hayes-White, Chief of San Francisco Fire Department, Letter to Civil Grand Jury dated April 12, 2006.

<sup>19</sup> City and County of San Francisco, Department of Human Resources, Memorandum DHR No. 01-2006, April 12, 2006. Also see the volunteer center, "City and County of San Francisco Disaster Service Worker ID Distribution, last updated on March 25, 2006.

### C. San Francisco's Health Care Delivery System

Within the public sector, DPH provides inpatient, outpatient and emergency services through its Community Health Network (CHN), which includes San Francisco General Hospital Medical Center (SFGH), the San Francisco Behavioral Health Center for mental health services, and Laguna Honda Hospital for skilled nursing and long-term care. SFGH accounts for approximately 13% of general acute/surgical bed days in San Francisco and 20% of total bed days.<sup>20</sup> (See Appendix B for detailed statistics.) The Primary Care Division of CHN includes six clinics at SFGH and 15 community clinics located throughout the city.<sup>21</sup> Five non-profit private clinics are affiliated partners of the City's CHN consortium.<sup>22</sup>

State-owned facilities include the University of California at San Francisco (UCSF) Medical Center, with UCSF Children's Hospital, and UCSF Medical Center at Mount Zion. Federally-operated facilities include the Veterans Affairs Hospital at Fort Miley and its clinic network.

Private sector hospitals include California Pacific Medical Center (CPMC), with three campuses (California, Davies and Pacific), Chinese Hospital, Kaiser Permanente Medical Center, St. Francis Memorial Hospital (with the only burn center in San Francisco), St. Luke's Hospital (now part of Sutter Health, along with CPMC), and St. Mary's Medical Center. Additionally, Seton Hospital in northern San Mateo County participates in San Francisco's emergency planning activities. Each hospital has its own emergency preparedness protocols, with HCNCC coordinating emergency/disaster-planning meetings for all public and private hospitals on a citywide basis. OES/HS and DPH representatives also attend these meetings.

While San Francisco has a highly sophisticated delivery system, it does have four distinct vulnerabilities:

1. As in other cities nationwide, San Francisco faces heavy patient demand for emergency services in the face of strained inpatient capacity, nursing shortages, and a growing number of uninsured.<sup>23</sup> When emergency departments (EDs) are operating at full capacity, they stop accepting additional ambulance patients. These patients are then diverted to other facilities to receive treatment. For the twelve months beginning in December 2004, San Francisco hospitals were on diversion 10% of the time. The diversion rate by hospital ranged from a low of 0% at Kaiser Permanente Medical Center to a high of 21% at SFGH and 16% at UCSF.<sup>24</sup> The diversion of patients, some

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<sup>20</sup> California Office of Statewide Health Planning and Development, 2004 Hospital Data File from Annual Utilization Report, accessed on March 3, 2006 <<http://www.oshpd.ca.gov/hqad/Hospital/hosputil.htm>>

<sup>21</sup> San Francisco Department of Health, *Annual Report for Fiscal Year 2004-2005*, p. 37.

<sup>22</sup> These clinics include the Haight Ashbury Free Medical Clinic, Lyon-Martin Women's Health Services, Mission Neighborhood Health Center, Native American Health Center, and South of Market Health Center. For locations of all DPH and private affiliated clinics, accessed on March 3, 2006, <<http://www.sfdph.org/chn/HlthCtrs/MapHlthCtr.htm>>.

<sup>23</sup> Ann S. O'Malley, Anneliese M. Gerland, Hoangmai H. Pham and Robert A. Berenson, "Rising Pressure: Hospital Emergency Departments as Barometers of the Health Care System," Center for Studying Health System Change, *Issue Brief No. 101*, November, 2005.

<sup>24</sup> San Francisco Emergency Medical Services Agency, accessed on March 20, 2006 <<http://www.sanfranciscoems.org/index.php?cat=no&name=diversionReports&exten=html>>

of whom are uninsured, from SFGH to the private hospitals has been a source of tension between DPH and local hospitals. More importantly, the high diversion rates are indicative of a statewide and a nationwide phenomenon of “severe Emergency Department crowding at public hospitals” serving indigent populations with limited access to primary care services.<sup>25</sup>

2. The only Level I Trauma Center in San Francisco is located at SFGH, where a trauma team is available 24 hours a day, 7 days a week. Pediatric trauma is referred to Children’s Hospital in Oakland when appropriate. Since SFGH does not maintain multiple trauma teams to care for the acutely injured, patients may need to be diverted to other local or regional hospitals in a mass emergency. This situation is problematic, at best, since the other local hospitals lack full trauma capabilities and access to regional hospitals could be blocked as a result of damaged bridges and freeways or gridlock on the roads out of the city.
3. None of the San Francisco hospitals has a functioning helipad, including SFGH. A 2003 study reported that of the 25 largest cities in the United States, only San Francisco fails to provide direct helicopter access to any of its hospitals.<sup>26</sup> The San Francisco Health Commission and the state Emergency Medical Services Authority have endorsed San Francisco’s Trauma Care System Plan, which calls for air medical access at SFGH. Planning for a helipad awaits completion of a Draft-Environmental Impact Report and a commitment for project funding.<sup>27</sup> For emergency planning, the city has identified 29 helicopter landing sites and their nearest hospitals, but most of these sites remain untested.<sup>28</sup> (See Appendix F)
4. Many of the hospitals in San Francisco need seismic retrofitting and/or have plans to rebuild. A 2001 evaluation by the California Office of Statewide Health Planning & Development (OSHPD) found that in a major earthquake 62% of the hospital buildings in San Francisco were “at significant risk of collapse” as compared to 37% statewide.<sup>29</sup> Should one or more hospitals be severely damaged or collapse in an earthquake, the intake process at the remaining hospitals is likely to be overwhelmed within a few hours, effectively closing off these hospitals to new patients.

All acute care hospitals must meet state seismic requirements by January 2008 unless they file for extensions and agree to meet the state standards on or before January 2013. As of February 2006, extension requests had been filed by all three

<sup>25</sup> Benjamin C. Sun et al., “Effects of Hospital Closures and Hospital Characteristics on Emergency Department Ambulance Diversion, Los Angeles County, 1998 to 2004,” *Annals of Emergency Medicine* 47:309-316, April 2006.

<sup>26</sup> Gerson/Overstreet Architects, *San Francisco General Hospital Air Medical Access Needs and Feasibility Study: September 2002-March 2003*, Prepared for San Francisco Health Commission, March 4, 2003, p. 2-22.

<sup>27</sup> Chris Wachsmuth, *SFGH Medical Helipad Project Timeline*, , December 5, 2005, accessed on March 29, 2006 <<http://www.sfdph.org/Meetings/SFGH/Attach/JCCSFGHM11082005AttachA.pdf>>.

<sup>28</sup> Emergency Medical Services Agency Aircraft Utilization, September 1, 2005, pp.16–17, Policy Reference #4020, accessed on April 5, 2006, <[http://www.sanfranciscoems.org/policy/SFEMSA\\_0905\\_Policy\\_4020\\_EMS\\_Aircraft\\_Utilization.pdf](http://www.sanfranciscoems.org/policy/SFEMSA_0905_Policy_4020_EMS_Aircraft_Utilization.pdf)>.

<sup>29</sup> California Office of Statewide Health Planning and Development, *Summary of Hospital Seismic Performance Ratings*, April 2001.



campuses of CPMC, Laguna Honda Hospital, UCSF at Mt. Zion, St. Mary's Medical Center, and St. Francis.<sup>30</sup>

In effect, a major unknown facing San Francisco will be the physical integrity of its hospitals after a major earthquake. For this reason, San Francisco has been actively involved in a regional planning process with Marin County and San Mateo County, and with a ten county plan formulated under the latest DHS grant application.

#### D. Components of Emergency Medical Planning

Emergency medical preparedness involves a broad range of services and the involvement of numerous city departments/agencies plus the private sector, as previously discussed. Table I displays a series of community-wide recommendations for medical preparedness developed by the Joint Commission on Accreditation of Healthcare Organizations (JHACO). A summary of identified gaps, using these recommendations, is included as Table II, Section VI.

TABLE I: COMPONENTS OF EMERGENCY PREPAREDNESS

| <i>Community-wide Emergency Preparedness Recommendations:<sup>31</sup></i>                                                                                                                        | <i>See discussion in Section V on:</i> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| 1. Determine standardized, universal measures of surge capacity.                                                                                                                                  | Surge Capacity                         |
| 2. Identify latent space capabilities and human resources capacities.                                                                                                                             | Surge Capacity                         |
| 3. Ensure hospitals have a 48-72 hour stand-alone capability through the appropriate stockpiling of necessary medications and supplies.                                                           | Surge Capacity                         |
| 4. Establish mutual aid agreements among community hospitals and other health care organizations.                                                                                                 | Surge Capacity                         |
| 5. Support the provision of decontamination capabilities in each hospital.                                                                                                                        | Surge Capacity                         |
| 6. Assign highest priority to training of direct caregivers and their receipt of protective equipment, vaccinations, prophylactic antibiotics, chemical antidotes, and other protective measures. | Surge Capacity                         |
| 7. Develop a centralized community-wide patient locator system.                                                                                                                                   | Surge Capacity                         |
| 8. Engage the mass media in the emergency preparedness planning process.                                                                                                                          | Public Information & Education         |
| 9. Assure direct caregiver access to current information about the emergency on a continuing basis.                                                                                               | Communications/IT                      |
| 10. Create redundant, interoperable communication capabilities.                                                                                                                                   | Communications/IT                      |

<sup>30</sup> California Office of Statewide Health Planning and Development, Facilities Development Division, *Summary of Requests for Extensions to Seismic Safety Deadlines*, April 28, 2006.

<sup>31</sup> Joint Commission on Accreditation of Healthcare Organizations, *Health Care at the Crossroads: Strategies for Creating and Sustaining Community-wide Emergency Preparedness Systems*, 2003.

|                                                                                                           |                          |
|-----------------------------------------------------------------------------------------------------------|--------------------------|
| 11. Regularly test, at least yearly, community emergency preparedness plans through reality-based drill.  | Training & Drills        |
| 12. Prospectively establish appropriate metrics to assess effectiveness of emergency plan.                | Training & Drills        |
| 13. Assure inclusion of all community emergency preparedness program participants in emergency plan tests | Training & Drills        |
| 14. Explore alternative options for providing sustained funding for emergency preparedness activities.    | Organizational Structure |

In its review of various documents the Civil Grand Jury identified two other critical elements that determine the overall effectiveness of medical emergency preparedness: organizational structure and leadership. The report on Hurricanes Katrina and Rita by the federal General Accountability Office contained this notable statement: "In the absence of timely and decisive action and clear leadership responsibility and accountability, there were multiple chains of command, a myriad of approaches and processes for requesting and providing assistance, and confusion about who should be advised of requests..."<sup>32</sup> This report will look at the ability of two key City departments, OES/HS and DPH, to take "timely and decisive action" and to exhibit "clear leadership responsibility and accountability."

## V. DISCUSSION

### A. Strategic Planning

A central goal of quality improvement is to maintain what is good about the existing system while focusing on the areas that require improvement. Strategic planning, sometimes called "Long Range Planning," is a useful mechanism to improve the functioning of health care organizations and facilities. Most organizations of necessity spend their time on the minutiae of daily operations, "putting out brush fires" with little opportunity to take a look at the "big picture," and to plan the future course of the organization.<sup>33</sup>

As noted previously, OES/HS, which reports directly to the Mayor, is responsible for coordinating emergency preparedness across multiple departments. The Disaster Council, for which the Director of OES/HS is the executive secretary, must develop "a plan for meeting any emergency" and for ensuring the "effective mobilization of all the resources of the community."<sup>34</sup> The City's Disaster Council has not been a forum for the sharing of ideas, but a

<sup>32</sup> U.S. General Accountability Office, GAO-06-365R, Enclosure I, "Statement by Comptroller General David M. Walker on GAO's Preliminary Observations Regarding Preparedness and Responses to Hurricanes Katrina and Rita," February 1, 2006.

<sup>33</sup> *Strategic Planning for Healthcare Organizations*, Montana Area Health Education Center, accessed on April 5, 2006 <<http://healthinfo.montana.edu/mtahec/stratpln.html>>.

<sup>34</sup> San Francisco Administrative Code, Sec. 7.4.

vehicle to provide department heads with a quarterly update on federal grant applications, program developments at OES/HS, training, and future events. Currently the Disaster Council is composed entirely of representatives from the governmental sector, with the exception of an American Red Cross participant. Missing are health care providers from the private sector, including the local hospitals that provide 80% of the patient care in San Francisco. (See Appendix C).

While the state of emergency preparedness in San Francisco has been significantly upgraded since the last Civil Grand Jury Report of 2002-2003, the City still lacks a coherent strategic planning process. Instead, planning has been reactive and focused on federal requirements or benchmarks built into grant applications. A key example relates to surge capacity or the ability of the health care system to expand services in an emergency. Using HRSA measures, DPH originally calculated hospital bed surge capacity based on San Francisco's weekday population of approximately 1.1 million and a goal of one bed per 2,000 in population. This calculation resulted in a need for 550 surge beds which is an increase of 30% above the average daily hospital census in San Francisco. More recently, the number has been increased to 600 beds, or 35% above the average daily hospital census.

Local hospitals have felt that the HRSA number is highly arbitrary. As noted by several hospital affiliated representatives, what plan does San Francisco have if there are mass casualties numbering in the thousands? What happens if one or two hospitals collapse? Where will their patients be transported and how? What alternative care sites will be set up? Will these sites have appropriate staffing, supplies, and equipment? Hospital interviewees felt that they have yet to see any documents with appropriate answers.

Another example relates to the purchasing process. In regards to disaster supplies and training, the City should better strategize fundamental needs, logistics and training with the hospitals. DPH purchased equipment and supplies for local hospitals, including Conex boxes (storage boxes which can be relocated), emergency generators, decontamination showers, satellite phones, and surge tents (to expand hospital capacity). However, several hospital interviewees noted that the equipment had just shown up on their doorsteps, without any instructions or training to ensure appropriate use. (Training is presently planned for later in the year.) Complete installation of communication equipment purchased by DPH has been delayed because hospitals need to obtain approval from OSHPD to erect roof top antennae. Meanwhile, city employees mentioned that there are no contracts signed between DPH and the hospitals, calling for equipment maintenance because the proposed contracts never received legal approval from the City.

In response to being largely ignored in the planning process, local hospitals set up their own voluntary Emergency Preparedness Task Force in 2002, under the auspices of their trade association HCNCC. Generally, it has been through attendance at these meetings that personnel from DPH and OES/HS learn about hospital preparedness concerns, such as communications, patient tracking, surge planning, mutual aid and JCAHO requirements.

At the request of the hospital leadership, the HCNCC Emergency Preparedness Task Force recently completed its own "Emergency Preparedness Scorecard" to facilitate the planning



process. (A copy is included in Appendix D.) This scorecard defines tasks to be completed in three month increments, beginning July 1, 2006.<sup>35</sup> These tasks encompass a broad range of emergency services, with responsibilities assigned to hospital personnel and/or DPH.

**Finding A.1:** San Francisco lacks an effective strategic planning process to deal with emergency preparedness. The situation is particularly important in the area of medical preparedness, since private hospitals provide the bulk of health care in the city. Yet, historically private providers have had only limited input into the planning process.

➤ **Recommendation A.1.a:** The Civil Grand Jury recommends that OES/HS develop a strategic planning process for emergency preparedness, with defined goals and priorities. The process should spell out specific tasks, deliverables, and timelines and should include input from both the public and private sectors.

➤ **Recommendation A.1.b:** Because the Disaster Council has not been used effectively for the planning process, the Civil Grand Jury recommends that the Mayor, as chair of the Disaster Council, make the following changes:

1. Redefine the role of the Disaster Council, with a new emphasis on using formal work groups involving key stakeholders from the public and private sectors;
  - a. Work groups to be organized by topic, such as transportation, health, communications, and public works.
  - b. One work group, dealing specifically with health/medical preparedness, to include representatives from local hospitals, clinics, and the physician community, at minimum.
2. Develop planning goals for each work group, with enumeration of specific action steps, implementation schedules, and budgets:
  - a. Prioritization of goals
  - b. Identification of strengths and weaknesses in existing emergency preparedness programs
  - c. Determination of any baseline data needed to set measurable targets for drills and exercises, where appropriate.
  - d. Products from each work group to be rolled into the Master Strategic Plan incorporating City Plans, Departmental Plans, Hospital/ Health Facility Plans, private sector emergency plans.
3. Initiate a “Master Strategic Planning Committee” and place representatives from each work group on the Master Strategic Planning Committee.

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<sup>35</sup> Hospital Council of Northern and Central California, communications from Ron Smith re Emergency Preparedness and Scorecard, received by the Civil Grand Jury March 23, 2006.



4. Use an outside consultant – an expert in disaster preparedness and planning – to act as facilitator at meetings of the Master Strategic Planning Committee and to oversee the writing of the Master Strategic Plan, which should subsequently be updated annually.

► **Responses required from:**

Office of the Mayor (60 days), Board of Supervisors (90 days), OES/HS (60 days), and HCNCC (optional). For further details, refer to Section VII.

## **B. Organizational Structure**

“Too often during the immediate response to Katrina, sparse or conflicting information was used as an excuse for inaction rather than an imperative to step in and fill an obvious vacuum. Information passed through the maze of departmental operations centers and ironically-named “coordinating” committees, losing timeliness and relevance as it was massaged and interpreted for internal audiences.”<sup>36</sup>

San Francisco’s Administrative Code states explicitly that the Director of OES/HS “shall be subordinate only to the Mayor and he or she shall work in close cooperation with the Disaster Council and with the heads of the several departments of the municipal government and the officers in charge of the Emergency Services.”<sup>37</sup> During its six month investigation, the Civil Grand Jury did not see the Director of Public Health at any events associated with medical preparedness – namely, a January meeting of the Disaster Council, monthly “table top” drills/Disaster Forums, and monthly meetings of the HCNCC Emergency Preparedness Task Force. It appears that he has delegated full responsibility for medical emergency preparedness to the Office of Policy and Planning, headed by an able administrator without a background in emergency medical services. Within DPH, the agency responsible for emergency services, EMSA, is headed by a medical director but is subordinate to OPP.

DPH’s draft *Emergency Operations Plan*, dated January 12, 2006, confirms the relegation of EMSA to secondary status. The plan calls for two lines of leadership succession for any emergency or disaster: departmental management and medical management. Administratively, if DPH’s Director of Health is unavailable, then the next person in line is the Deputy Director heading OPP, followed by the Deputy Director responsible for Community Health Programs. As the City’s health officer, the responsibilities of the director pass through five deputy health officers before reaching the health officer who heads EMSA.<sup>38</sup> In effect, DPH administrators have relegated EMSA to a minor role in their emergency protocols. Yet, EMSA is the agency legally designated by the state with the regulation and oversight of pre-hospital medical services.

To date, reporting lines to OES/HS have been up through departments – based on the seniority of personnel using pre-defined lines of communication. For example, within DPH,

<sup>36</sup> *A Failure of Initiative*, p. 360

<sup>37</sup> San Francisco Administrative Code, Sec. 7.7.

<sup>38</sup> San Francisco Department of Health, *Emergency Operations Plan*, draft dated January 12, 2006, pp. 1-2 to 1-4.

personnel in EMSA must report through DPH's Office of Policy and Planning, which in turn reports up to OES/HS. While informal communications do take place horizontally across departments to a limited extent, the reporting process, based on the chain of command, takes precedence over the informal process. For example, in DPH, staff in EMSA cannot override policies set by OPP, or suggest alternatives directly to OES/HS. (See DPH organization chart in Appendix E.)

The apparent "silo" mentality that characterizes emergency planning in San Francisco has some significant negatives with respect to relations with the private sector, flow of information within and across departments/agencies, and effective coordination of public and private planning efforts.

With regards to the private sector, the bureaucratic approach to planning has effectively cut off valuable input from the city's private hospitals and clinics and created a "them versus us" mentality. Examples include:

1. While hospital, clinic and ambulance personnel do sit on some DPH committees including the Disaster and Emergency Operations Advisory Committee, the Infectious Disease Working Group, and the Hospital Pharmacy Emergency Preparedness Working Group, their role in the planning process is largely geared to review and comment, not policy-making. (In April 2006, two hospital representatives were invited to participate in an existing Multi-Casualty Working Group, headed by DPH.). The desire of the hospitals to be a part of the emergency planning process was repeatedly emphasized at HCNCC Emergency Preparedness Task Force meetings and in interviews with various hospitals representatives.

Without a direct voice into the overall planning process, hospitals may not always buy into city directives. As noted by one hospital interviewee, "We haven't taken time to download DPH's emergency procedures."

2. As previously noted, the hospitals in the city have developed their own Emergency Preparedness Scorecard, with specific responses spelled out for DPH, rather than both parties – the hospitals and DPH - jointly producing a combined planning tool.

Equally a problem is the fact that information does not flow readily within departments or from one city department or agency to another. In the words of one interviewee, "The city departments are built around silos for political safety." Examples include the following:

1. A number of interviewees talked about the reluctance of their superiors to acknowledge problems in emergency exercises. Yet, without an honest assessment of where there are glitches in policies and procedures, the learning process built into these drills and exercises is compromised. (See Section sub-section E, "Training and Drills," for additional detail.)
2. Several of those interviewed noted that the culture within San Francisco government is "to suppress bad news." For example, interviewees described the Fast Track II and

Golden Guardian exercises in October and November 2005 as “failures,” as “disasters.” Apparently, this situation was not communicated effectively to the Mayor, because at the meeting of the Disaster Council on January 17, 2006, he spoke about how proud he was of San Francisco’s preparedness and of its performance at the last drill.

3. Studies generated in one department are not necessarily shared across departments, leading to conflicting visions of how to handle emergency preparedness. One example relates to an analysis of surge capacity, prepared by an officer in SFFD, which was apparently not shared with senior staff at DPH or OES/HS. This report, which shows San Francisco hospitals being overwhelmed in the first few hours after a major disaster, has different modeling assumptions than the more conservative numbers used by EMSA in DPH. Other suggestions in this report include discussions about readily deployable caches of medical supplies and design of self-contained emergency support vehicles.

**Finding B.1:** While emergency preparedness requires “out of the box” thinking and the ability to foster new lines of communication across departments and with the private sector, the City continues to rely on a traditional bureaucratic approach to medical preparedness.

➤ **Recommendation B.1:** There is a need for a high-level forum or clearinghouse that cuts across city departments and includes the private sector. The City needs a vehicle to allow for sharing of ideas about how to best upgrade elements of disaster preparedness such as existing policies and procedures, drills, planning goals, and implementation plans. As previously discussed, work groups under the Disaster Council could serve as such a forum.

**Finding B.2:** The issue of how best to devise a public-private partnership has yet to be resolved. The current solution, from the perspective of DPH, is to hire a hospital coordinator to work with the hospitals to review each hospital’s emergency/surge plan, including its training and exercise procedures, and to coordinate those plans with appropriate city departments. This approach, while helpful to the hospitals, does not address their desire to be “at the table” in the planning process.

➤ **Recommendation B.2:** To create a strong public-private partnership for delivery of health services, hospitals, clinics, health centers and medical providers must be considered integral partners in the planning process, not an afterthought. Committees continue to be formed, such as the Multi Incident Work Group, without bringing in hospitals from the start. The Mayor should issue a directive to OES/HS and DPH about inclusion of private hospitals, and when appropriate, other healthcare providers, on key emergency planning task forces, committees, and work groups.

► **Responses required from:**

Office of the Mayor (60days), OES/HS (60days), DPH (60days), EMSA (60days), Health Commission (60days), Disaster Council (60days), HCNCC (optional). For further details, refer to Section VII.



## C. Leadership

“The problem .... is that well-intended leaders, practicing what they believe is effective leadership, could be just as much part of the problem as they are part of the solution. Leadership could work - and it has - to fortify the silo mentality of agencies, this despite the fact that it is the coordinated action of many agencies working together that is essential to advancing the national preparedness effort....[W]hat different brand of leadership is necessary to get beyond the silo thinking to achieve the cross-agency coordination of effort required for terrorism preparedness?”<sup>39</sup>

An overarching concern about medical preparedness in San Francisco relates to the lack of a single articulate voice, with appropriate emergency training and medical experience, to oversee and coordinate preparedness activities in the public and private sectors. At present, neither OES/HS nor DPH has a dynamic leader with an extensive background in medical preparedness and emergency planning to drive the strategic planning process and communicate it across all sectors. Numerous interviewees stated to the Civil Grand Jury, “There is a complete lack of leadership.”

As stated in the San Francisco Administrative Code, the Director of OES/HS is required to have “expert qualifications for the work of emergency preparedness and relief.”<sup>40</sup> The current Director, while having taken course work in emergency planning, does not have the requisite experience for leading the charge of medical preparedness. Similarly, the Director of OPP in DPH lacks an appropriate background.

To obtain needed expertise, both OES/HS and OPP have recruited staff with backgrounds in emergency services to assist in the preparation of emergency plans and design of drills. Within DPH, some of the needed talent was already available, but not used. In fact, numerous interviewees described, both explicitly and implicitly, the poor working relationship and duplication of skills between OPP and EMSA.

**Finding C.1:** San Francisco is missing a strong and effective leader, with appropriate training and experience, to take charge of emergency medical preparedness. There is no person able to communicate on a professional level with hospital executive officers, with managers of emergency departments and clinics, and with hospital planners, as well as with city officials, administrators and staff.

**Recommendation C.1:** The Mayor must ensure that the City recruits a senior level person, preferably at OES/HS, to oversee medical preparedness, including observing and correcting any deficiencies in DPH. The Mayor should explicitly require and oversee the hiring

<sup>39</sup> Leonard J. Marcus, Barry C. Dorn, and Joseph M. Henderson, “Meta-Leadership and National Emergency Preparedness: Strategies to Build Government Connectivity,” Harvard University, John F. Kennedy School of Government, Center for Public Leadership, *Working Papers*, Spring 2005, p. 43.

<sup>40</sup> San Francisco Administrative Code, Sec. 7.7.

of an executive, with a proven track record of leadership in the private or governmental sector and with expertise in emergency medical services. This person should be recruited from outside of OES/HS and DPH. Recruitment should begin no later than September 2006. Specific tasks for this position would include:

1. Developing a process, in conjunction with the Mayor and Board of Supervisors, for incorporating the private sector into the emergency planning process;
2. Providing realistic input on best practices in other communities and the military and incorporating such into the City's *Emergency Operations Plan* and into DPH's separate *Emergency Operations Plan*;
3. Taking an active role with OES/HS and key stakeholders, public and private, in design and oversight of emergency drills; and
4. Ensuring that policies and procedures implemented by OES/HS, DPH, and SFFD are achievable and understood by all city departments and the private sector.

**Finding C.2:** According to DPH, it is the intention of OPP to hire a hospital coordinator to assist hospitals with their emergency/surge plans and training.

➤ **Recommendation C.2:** Ideally, the newly recruited leader, whether located at OES/HS or DPH, should be involved in selection of the hospital coordinator. However, if recruiting of the hospital coordinator occurs before creation of the new leadership position, the Mayor should have the Director of DPH take responsibility for hiring the coordinator. In particular, the Mayor and the Director of DPH have to ensure that the new hospital coordinator has an appropriate emergency or hospital background and has the leadership qualities sought by the HCNCC Emergency Preparedness Task Force. One or two members of the HCNCC task force should be included on any committee that interviews job candidates.

**Finding C.3:** The poor working relationship between OPP and the EMSA in DPH must be addressed to prevent continued disharmony, and to maximize the potential of existing talent and knowledge.

➤ **Recommendation C.3:** Another task for the new medical preparedness leader at OES/HS or DPH would be to assess OPP and EMSA operations to determine appropriate placement of personnel and reporting lines. If a leader is not hired by fall 2006, then the Mayor and the Director of DPH should be compelled to thoroughly evaluate the situation, including whether to merge the two operations.

► **Responses required from:**

Office of the Mayor (60 days), OES/HS (60 days), DPH (60days), OPP (60days), EMSA (60 days). For further details, refer to Section VII.



## D. Surge Capacity

“Few, if any hospitals in American today could handle 100 patients suddenly demanding care. There is no metropolitan area, no geographically contiguous area that could handle 1,000 people suddenly needing advanced medical care in this country right now.”<sup>41</sup>

Surge capacity is the ability of a hospital or health system to expand services quickly beyond normal capabilities to handle a sudden increase in patients. Surge capacity is measured in terms of added beds, along with necessary staffing, equipment, and supplies. There are two key factors in determining surge capacity: the number of additional patients needing care and the length of time required to meet the increased demand.

Hospitals can expand by converting ambulatory facilities, such as surgery centers, opening closed wings or floors in an existing facility, temporarily using non-medical facilities in the community, such as schools and recreation centers, and by setting up portable or mobile facilities. The topic of surge capacity has been and continues to be a major topic at meetings of the HCNCC Emergency Preparedness Task Force. Also the California Department of Health Services is currently conducting an assessment of surge capacity statewide.<sup>42</sup>

To date, DPH has used federal benchmarks, set by the Health Resources and Services Administration, to develop its surge estimates, as discussed earlier. On May 17, 2005, EMSA presented its assessment of health preparedness to the San Francisco Public Health Commission. The Medical Director stated that “The San Francisco EMS System has surge capacity gaps in the areas of essential personnel, essential equipment, personal protective equipment, decontamination capabilities, pharmaceuticals, communications and training.”<sup>43</sup> It was noted that dealing with personnel shortages in an emergency would require working with “regional partners in the hope that the disaster would not affect all regions equally” and that San Francisco may need to bring in federal medical disaster teams.<sup>44</sup> Since then, local hospitals have received federally-funded equipment and supplies through DPH, but gaps in meeting surge capacity requirements still remain.

Civil Grand Jury interviewees from both the public and private sectors believe that San Francisco’s hospitals would be overwhelmed by having to care for an additional 550 to 600 severely injured patients. With SFGH the only certified trauma center in San Francisco, most of the other hospitals do not have the specialized equipment and on-duty professional staff to handle severely injured patients. Moreover, those hospitals currently operating at or near capacity would have to discharge existing patients and/or relocate them before accepting large numbers of new patients. If one or more hospitals were to be rendered unsafe from a terrorist

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<sup>41</sup> U.S. Congress. Senate: Committee on Government Affairs, July 23, 2001 Testimony of Tara J. O’Toole, M.D., M.P.H., Johns Hopkins Center for Civilian Biodefense Studies, as quoted in Joint Commission on Accreditation of Healthcare Organizations, *Surge Hospitals: Providing Safe Care in Emergencies*, 2006, p. 1.

<sup>42</sup> The California Department of Health Services (CDHS) issued the hospital survey on February 5, 2006.

<sup>43</sup> San Francisco Department of Public Health, *Health Commission Minutes*, May 17, 2005, pp. 7-8.

<sup>44</sup> *Ibid.*, p. 8.

attack or an earthquake, interviewees questioned whether the other hospitals would be able to absorb the overflow. Finally, interviewees felt that the calculation of 550 to 600 additional patients underestimates patient demand after a major earthquake or terrorist attack, since the so-called “worried well,” the “walking wounded” with minor injuries, and persons with chronic conditions are likely to inundate hospital emergency departments.

Depending on the cause of the emergency, several interviewees stated that the HRSA number of 550 to 600 severely injured patients was far too conservative. These interviewees suggested that a large scale incident will cause the emergency medical operations of DPH, SFFD and the entire city government to fail catastrophically within the first 30 minutes to two hours, before medical, fire and police personnel residing out-of-town can return and before the arrival of any regional aid. An underestimation of the number of injured resulted in major logistical difficulties following Hurricane Katrina, as quoted in the *Failure of Initiative* report.<sup>45</sup>

Another problem identified from the review of the Hurricane Katrina experience involves patient tracking. DPH is currently addressing the problem through its purchase of EMTrack™, software and hardware, including Personal Digital Assistants and communication kits, with laptop computers. A pilot program using the equipment is scheduled for May-June 2006, with distribution to the hospitals to be completed by August, followed by troubleshooting in September. Integrated with EMTrack™ software is EMResource™, a Web-based communication system to view regional ED status and available hospital beds to support decisions on patient transport.

Another aspect of dealing with surge capacity involves creating alternative delivery sites to take pressure off hospital emergency departments. Community-based clinics – both city-operated and members of the Community Clinic Consortium – represent a potential safety valve. However, as best as the Civil Grand Jury could determine, the emergency plans developed by these clinics do not address caring for overflow hospital patients during a mass disaster. However, clinics at local hospitals have been built into disaster planning.

**Finding D.1:** To expand their capacity, hospitals must identify surge beds and practice setting them up. Individual hospitals have tested their own surge capacity, but a test has never occurred that involved all hospitals citywide. Also, the Civil Grand Jury is unaware of any recent or proposed citywide drills that focus on meeting the HRSA goal of 600 severely injured patients arriving at San Francisco hospitals.

➤**Recommendation D. 1:** All hospitals should participate in an annual citywide disaster exercise, which involves setting up the maximum number of surge beds called for in each hospital’s emergency/surge plan. Since local hospitals are very concerned about the disruption of their normal daily operations during drills, particularly at times when their facilities/EDs are at capacity, the timing of the drills is crucial. Therefore, local hospitals must be included from the start in the planning process.

**Finding D.2:** The Civil Grand Jury is unaware of provision for community clinics to accept patient overflow from local hospitals in an emergency or of any recent emergency drills that

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<sup>45</sup> *A Failure of Initiative*, p. 271

have involved clinics operated by the City or by the Community Clinic Consortium.<sup>46</sup>

► **Recommendation D.2.a:** At minimum, DPH should mandate that its own clinics address surge capacity in their own emergency plans. Also, DPH should work with the Community Clinic Consortium to ensure that their clinics have appropriate policies and procedures for accepting patients from nearby hospitals in an emergency. All clinics, city-sponsored and non-profit facilities, need to test their surge capabilities in citywide drills.

► **Recommendation D.2.b:** DPH should ensure the distribution of sufficient supplies, drugs, and equipment to clinics in an emergency. Also, DPH needs to identify alternate sites, such as schools, for those neighborhoods without clinics and to develop policies and procedures for assignment of personnel and distribution of supplies, medications, and equipment to those sites. The availability of services at clinics and alternate sites has to be publicized. (See Recommendations G.1.a through G.1.c.)

**Finding D.3:** DPH has purchased software and hardware to support patient tracking, with a pilot program using the equipment scheduled for May-June 2006.

► **Recommendation D.3:** DPH should give highest priority to maintaining the implementation schedule of the patient tracking software, including its testing in a scheduled Golden Guardian drill in November 2006.

Other worthwhile recommendations that the Civil Grand Jury received but did not investigate fully include:

1. Require all new hospital construction in San Francisco, including plans for SFGH and Laguna Honda, to incorporate dual-purpose disaster-ready spaces in their design, and
2. Provide logistical support for hospitals and first aid or field stations by equipping one or two ready-to-roll field hospitals and medical supply trucks.

► **Responses required from:**

Office of the Mayor (60 days), OES/HS (60 days), DPH (60 days), EMSA (60 days), San Francisco Community Clinic Consortium (60 days), CHN Health Clinics (60 days) HCNCC (optional). For further details, refer to Section VII.

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<sup>46</sup> Five clinics in the Consortium are affiliated with CHN. (See f.n. #20.) The five non-affiliated clinics are Curry Senior Center, North East Medical Services, St. Anthony Free Medical Clinic, San Francisco Free Clinic, and Glide Health Center, accessed on April 4, 2006, <[www.sfccc.org/sfcccclinics/index.htm](http://www.sfccc.org/sfcccclinics/index.htm)>.



## E. Training and Drills

“Disaster management ...requires a paradigm change, from the application of unlimited resources for the greatest good of each individual patient to the allocation of limited resources for the greatest good of the greatest number of casualties. This change is achieved most effectively by planning and training for disasters, through both internal hospital drills and regional exercises involving all community resources.”<sup>47</sup>

City government is mandated to do everything within its power to secure the safety of its citizens. One aspect of preparedness involves having first responders practice their skills in various types of drills to identify shortcomings in existing emergency plans. In the City’s *Emergency Operations Plan*, three types of such exercises are described:

1. *Tabletop Exercises* where officials and key staff from departments with emergency management responsibilities gather together to discuss various simulated emergency scenarios. “These exercises are designed to elicit constructive discussion and problem-solving by the participants without time constraints.”<sup>48</sup>
2. *Functional Exercises* to test one or multiple emergency functions. These exercises take place under some type of time constraint and are more complex than tabletop exercises.
3. *Full-Scale Exercises* involve actual deployment of personnel and equipment to disaster “sites” to demonstrate coordination of services and response capabilities.

While Table Top drills were described by interviewees as “inadequate” or “unrealistic,” the biggest issues involved the handling of Full-Scale Exercises. The most recent of these exercises were Fast Track II (FT II) and Golden Guardian, held in October and November 2005 respectively. FT II, which was sponsored by the City and County of San Francisco, involved detonation of two explosive devices, one in a MUNI bus and the other in a vehicle in the Financial District. One of the primary purposes of the exercise was to test the federally-mandated Incident Command System (ICS). Applicable to multiple disciplines, including federal disaster workers, public works, law enforcement, and public health personnel, ICS establishes lines of supervisory authority and formal reporting relationships.<sup>49</sup>

City departments failed to follow ICS protocols during FT II, resulting in information gaps that delayed provision of first aid services. Since then, OES/HS has drafted recommendations and an Improvement Plan, which calls for ICS/Unified Command training for SFPD and SFFD staff and a redesign of the OES/HS Emergency Operations Center (EOC).

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<sup>47</sup> Statement on Disaster and Mass Casualty Management, American College of Surgeons, Ad Hoc Committee on Disaster and Mass Casualty Management of the Committee on Trauma, June 2003.

<sup>48</sup> City and County of San Francisco, *Emergency Operations Plan* of January, 2005, p. 6-3.

<sup>49</sup> FEMA Position Paper, [http://www.fema.gov/txt/nims/nims\\_ics\\_position\\_paper.txt](http://www.fema.gov/txt/nims/nims_ics_position_paper.txt), accessed on April 3, 2006.

The Golden Guardian exercise, held in November, was an exercise sponsored by the California Homeland Security Exercise and Evaluation Program to test the coordination of responses by city, county and state governments, by volunteer organizations and by private industry. The November 15, 2005 exercise was predicated on the use of explosive devices and a chemical release at multiple sites in California. San Francisco's role in the exercise was to provide mutual aid to two hundred volunteers, acting as patients, who arrived by ferry from the East Bay. These "patients" were then to be triaged and transported to participating San Francisco hospitals. When the "patients" arrived by ferry at Pier 31, SFPD did not seem to know what to do with the arrivals. At the hospitals, staff waited for the "victims" who never arrived. Meanwhile, DPH assumed that the patients had arrived at Pier 31 and had been transported to the hospitals, as expected. The exercise again revealed a failure to use the ICS, resulting in miscommunication or no communications between the involved parties.

Those participants who were interviewed, commented candidly that both the October and November drills were each "a disaster." Complaints included: poorly conceived exercises; poor communications between city departments and with local hospitals; plans that became garbled and confused; and planned responses that never were tested.

There have been significant delays in releasing information related to the October and November, 2005 drills. While there was an informal "hot wash" or discussion by participants immediately after a drill, the written "After Action Report" is the official document for identifying problems and determining the need for additional training. The After Action Report for the October Fast Track II drill noted "many minor" problems at the central EOC. Problems with seven department operations centers (DOCs) were attributed to the newness of the DOC model and the fact that their role "is still somewhat foreign to many departments."<sup>50</sup> Even though this exercise occurred in October 2005, the final report was not released until February 2006.<sup>51</sup>

The November Golden Guardian After Action Report was not finalized as of mid-April, 2006, although drafts were shared earlier with the involved departments. (The Civil Grand Jury was unable to obtain a copy of the After Action Report for Golden Guardian from state officials as of this writing.)

Another citywide drill, conducted in April 2006, was designed to test the ability of the emergency medical services system in San Francisco to respond to a major earthquake. DPH's role was designed as a tabletop exercise involving numerous casualties and fatalities."<sup>52</sup> As of the writing of this report, the Civil Grand Jury has no knowledge about how successfully the

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<sup>50</sup> San Francisco, Office of Emergency Services & Homeland Security, "After Action Report: Fast Track – Part II, Full Scale Exercise," October 12, 2005.

<sup>51</sup> The Civil Grand Jury requested copies of the Fast Track After Action Report in December 2005, but was told that the report was not yet available. Correspondence with OES/HS indicates that the initial drafts of the report were sent out for comments on January 10<sup>th</sup>, with comments received back from SFPD on Feb. 2<sup>nd</sup>. The exact date when the document was formally released was not supplied to the jury by OES/HS.

<sup>52</sup> San Francisco Department of Public Health, Office of Policy and Planning, EMS Agency, and the Environmental Health Section, "Earthquake 2006 Disaster Exercise," March 20, 2006 (1<sup>st</sup> Draft).



hospitals and first responders performed during the drill. Some of the tested hospital capabilities involved their abilities to:

1. Communicate with each other and DPH/EMSA;
2. Identify surge capabilities related to personnel, space, equipment and supplies, including setting up surge areas;
3. Identify alternate care locations in event of patient evacuation; and
4. Assess damage to their infrastructure.

**Finding E.1:** The delay in circulating After Action Reports, such as for the October and November drills, undermines the ability of city leaders to understand operational issues at the departmental level.

➤ **Recommendation E.1.a:** After completion of city-sponsored drills, participating departments must submit written comments within 10 working days. Following compilation of the departmental comments into a draft After Action Report, this document should be sent to the participating departments for review and comment. Counting from the original date of the drill, the final document should be available no later than 45 days after a drill.

➤ **Recommendation E.1.b:** The Mayor's Office should automatically be given initial "hot wash" write-ups and After Action Reports for all citywide drills. If the reports are not provided on a timely basis, his staff should follow up with appropriate personnel in OES/HS, DPH, SFFD and SFPD, at minimum. The intent of this process is two fold: 1) to see how long before the After Action Report write-ups become available; and 2) to see if the "official" version accurately reflects the experience recorded by participants in the drill.

➤ **Recommendation E.1.c:** Final After Action Reports should be distributed to the members of the Disaster Council upon their release.

► **Responses required from:**

Office of the Mayor (60 days), Board of Supervisors (90 days), OES/HS (60 days), DPH (60 days), EMSA (60 days), Disaster Council (60 days), SFFD (60 days), and SFPD (60 days). For further details, refer to Section VII.

## F. Communications and Information Technology

“Clear, precise communications are never more crucial than when human lives, property and equipment loss, environmental damage, and perhaps even corporate survival are at risk. The success of an emergency response plan to minimize loss and destruction depends on the effectiveness of communications”.<sup>53</sup>

Multiple means of communication are a must during any disaster/mass emergency. If one system is inoperable, another should stand in its stead. The City's *Emergency Operations Plan* of January 2005 identifies multiple warning systems, some of which include:<sup>54</sup>

1. The Outdoor Emergency Warning System - the sirens activated every Tuesday noon;
2. The Community Alert Network – a high-speed telephone emergency notification system;
3. SFGTV – Cable Channel 26 to convey information following an emergency;
4. Emergency Digital Information System - a state-operated system to deliver emergency public information and advisories to the news media;
5. Public Telephone System – a city-wide telephone network located within city buildings;
6. Mayor's Emergency Telephone System – a city-owned communications system that bypasses the public telephone system;
7. 800 MHz Radio/Microwave System – a wireless system linking safety-related departments, including SFPD, SFFD, and DPH;
8. RapidCom – a federal program to enable the ten largest urban areas to communicate with each other after a large emergency incident;
9. Auxiliary Communications Service – a volunteer communications unit of HAM operators under the purview of OES/HS; and
10. State communications systems, including Operational Area Satellite Information System that links all 58 counties with each other and with the State Warning Control Center in Sacramento.

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<sup>53</sup> Sam Mullen, *Critical Communications: An Operations Guide for Business*, accessed on April 5, 2006, <<http://www.disastercenter.com/Rothstein/cd491.htm>>.

<sup>54</sup> City and County of San Francisco, *Emergency Operations Plan*, January 2005.

In discussing the City's investment in communication systems, interviewees spoke largely about the gaps or deficiencies in existing systems. Individuals within city government spoke about dialing numbers repeatedly during a drill and never reaching their party. One individual noted trying to contact someone within DPH and ending up in contact with a hospital on the Peninsula. Another became so frustrated with trying to reach the right party through specified phone channels that, "I finally just used my personal cell phone."

The failure to reach the correct party was attributed to malfunctioning equipment and/or use of wrong phone numbers. Interviewees noted that listings of contact names and phone numbers by city department were often incorrect, since phone lists are not regularly updated. In fact, during one Fast Track exercise apparently some of the hospitals did not know the new Department Operation Center fax number for sending out required forms for patient tracking. (Installation of EMTrack™ will eliminate faxing of patient information.) Conversely, DPH lacked updated call-back rosters for many of the hospitals.<sup>55</sup>

Local hospitals have separately begun an evaluation of communications equipment distributed by DPH. While the new equipment represents a major upgrade to communication capabilities, the preliminary assessment of existing and new equipment shows the following vulnerabilities:<sup>56</sup>

1. Telephone, faxes and cell phones are vulnerable to circuit overload and power failures, and are very likely to fail in a large event.
2. Satellite phones are prone to power failure and misalignment of antennae; currently there is only one fixed satellite phone location per hospital.
3. 800 MHz radios are used only to communicate with city departments. All hospitals currently have 800 MHz radios in their EDs only.
4. HEARNet (Hospital Emergency Administrative Radio Network) radios are vulnerable to power failure, have limited channels, and all locations may not be able to communicate directly with one another.
5. HAM radios have limited channels and are not a secure means of transmitting confidential information.

Three modes of communication, satellite phones, 800 MHz radios, and HAM radios, require approval from the Office of Statewide Health Planning and Development (OSHPD) for antenna installation. OSHPD requires submission of engineering, electrical and architectural details and installation plans, with the approval process taking up to six months. (At the April 5, 2006 meeting of the HCNCC Emergency Preparedness Task Force, the OPP representative volunteered to see if the application process could be expedited.) As of this writing, most of the

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<sup>55</sup> Mary Vassar and Kate Garay, "EMS System Surge Capacity & Capability Assessment," as presented by John F. Brown, M.D. to the San Francisco Health Commission, May 17, 2005.

<sup>56</sup> Hospital CEO meeting, *Overview of Communications Capabilities and Gaps* (PowerPoint presentation), February 6, 2006.



city's private hospitals are still in the process of preparing their OSHPD applications, with their communication systems yet to be fully installed.

Interviewees also spoke about problems with the citywide alert system installed by ATI Systems of East Boston, Massachusetts under a \$2.1 million federal grant. Sirens are tested on Tuesdays at noon but are not audible in some parts of the city. Oral announcements on the siren system are not audible or intelligible in many locations. Thus, it is unclear what process San Francisco officials will use to provide local residents/workers with warnings and accurate, up-to-date instructions following a major disaster. A report by one of the local TV stations indicates that "it will take almost a million dollars to fix the dead spots by installing more sirens."<sup>57</sup>

Another issue relates to public misuse of the emergency phone number 911. Because of widespread confusion among San Franciscans about how to access some 140 different city departments and agencies by phone, they end up calling 911 for assistance; on an annual basis, non-emergencies account for approximately 70% of all calls to 911.<sup>58</sup> A solution is to establish a 311 call center to access information on city services.

Planning for the 311 Call Center is under way. On March 14, 2006, the Board of Supervisors approved a lease by the Municipal Transportation Agency for space at One South Van Ness Avenue to house such a phone system.<sup>59</sup> The plan is to have all calls to 311 answered by a live operator, 24 hours a day, seven days a week. Immediate access to translation services in multiple languages will be available. The 311 Call Center will use a database of information about city services, updated on a regular basis, and will be designed to quickly serve as a back-up to 911 in an emergency situation. The 311 System has received seed funding from the Mayor's budget. The 311 Call Center is planned to start operations in late 2006.

**Finding F.1:** Interviewees described problems with installing hospital phone equipment, with the city's siren system, and with potential overloading of 911 in an emergency.

➤ **Recommendation F.1:** Based on the complaints heard by the Civil Grand Jury, it is apparent that the City needs a detailed communications work plan, with an outline of required steps, responsibility for implementation of each step, and timelines for their completion. At minimum, the work plan must cover the three identified problem areas: phones, sirens, and 311 development. The plan also needs to identify by neighborhood the "dead spots" in the siren alert system; gaps in other types of communication; and subsequently develop solutions to remedy the problems.<sup>60</sup> Within the available budget, the highest priority should be given to developing 311

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<sup>57</sup> Dan Noyes, I Team Follow-UP: "Official Wants Hearings On City Siren System," accessed on Nov. 15, 2005, <[http://abc.pca/gp/cp/kg0/story?section=i\\_team&id=3636119&ft](http://abc.pca/gp/cp/kg0/story?section=i_team&id=3636119&ft)>.

<sup>58</sup> San Francisco, Office of the Mayor, "311: Improved Customer Service and Public Safety of San Francisco," September 2, 2004, accessed on March 23, 2006 <[http://www.sfgov.org/site/uploadedfiles/mayor/policy/NEWSOM\\_311.pdf](http://www.sfgov.org/site/uploadedfiles/mayor/policy/NEWSOM_311.pdf)>.

<sup>59</sup> San Francisco Board of Supervisors, Resolution 0140-06, File # 060079, March 14, 2006.

<sup>60</sup> New York City Department of Information Technology and Communications, accessed on April 5, 2006, <[http://www.nyc.gov/html/doiit/html/about/about\\_311.shtml](http://www.nyc.gov/html/doiit/html/about/about_311.shtml)>.



capabilities to support medical services after a disaster, including directing individuals to hospitals and alternate care sites in their neighborhoods.

**Finding F.2:** City departments do not have accurate and current listings of key contacts, along with names of alternative contacts, to ensure communications with appropriate personnel during a disaster.

► **Recommendation F.2:** The Mayor should require all city departments to maintain and distribute electronically updated contact information for key emergency staff as personnel changes occur. Each Departmental Operations Center should maintain hard copy of the contact list in case of power failure. The listings should also include information on cell phone numbers, work schedules, and alternate contacts.

► **Responses required from:**

Office of the Mayor (60 days), OES/HS (60 days), EMSA (60 days), DTIS (60 days), HCNCC (optional). For further details, refer to Section VII.

## **G. Public Information and Education**

“This country [Israel] has excelled in safety and security. What really strikes me here is that preparedness and security is a culture. It’s something that we don’t understand in the U.S. There are people in California who have zero resolve when it comes to this issue.”<sup>61</sup>

Public officials in San Francisco recognize that in the event of a major disaster, such as an earthquake, it might be several days or more before vital public services are restored to the city. The city’s emergency personnel will need to concentrate their efforts on the most dangerous situations and the most seriously injured. Details on steps that San Francisco residents should take to cope with a major disaster are posted on the Web site, [www.72hours.org](http://www.72hours.org). The federal Department of Homeland Security also maintains a similar Web site at [www.ready.gov](http://www.ready.gov).

The 72hours.org Web site indicates that residents should maintain first aid supplies, a three day supply of prescription medications, and three days or more of oxygen, if necessary. There is no discussion, however, about potential patient overloads at local emergency departments and about the advisability of seeking care in alternative sites for minor injuries. (In fact, the Civil Grand Jury is unaware of any formal plan for use of local clinics as alternative treatment sites. There is, however, a shelter plan.)

The Neighborhood Emergency Response Team Program (NERT), formed by the San Francisco Fire Department after the 1989 Loma Prieta earthquake, is another vehicle to promote individual involvement in disaster planning. Funded through federal grants and SFFD

<sup>61</sup> San Francisco Chronicle, “U.S. Security Officials Train with the Pros”, March 24, 2006, Quote from Erroll Southers, Deputy Director, California Office of Homeland Security during conference on counter-terrorism in Israel.

volunteers, the NERT program has taught hands-on disaster skills to more than 11,000 San Francisco residents since 1990.<sup>62</sup>

A pilot program, entitled the Community Disaster Plan for District 5, which stretches from the Inner Sunset to the Western Addition and includes Haight-Ashbury and Japantown, is being led by OES/HS, in conjunction with the office of Supervisor Ross Mirkarimi, the Mayor's Office of Neighborhood Services and the organization of SF 5 Together. The intent is to roll this program out to each district in San Francisco. The program is designed to empower neighborhood communities to work with city agencies to develop emergency response plans that are tailored to their unique needs.

Another program is a state-mandated Disaster Registry Program for the elderly and the disabled. Approximately 9,000 residents have registered for the program, 80% of whom are elderly, the rest disabled.<sup>63</sup> Administered by EMSA in DPH, the program maintains a confidential database of vulnerable individuals who wish to have someone check on them following a disaster. A listing by neighborhood is distributed to select fire stations. Following a disaster, SFFD battalion chiefs will provide authorized rescuers, such as NERT volunteers, with information sheets for their neighborhoods. Rescuers will then make an assessment at each address. However, because the program relies on the availability of volunteer responders, a timely response is not guaranteed and program participants are advised to be self-sufficient for at least 72 hours.

**Finding G.1:** A preceding section on "Surge Capacity" discussed the likelihood that hospital Emergency Departments will be overrun with patients in the first few hours after a mass emergency/disaster. Many of the patients who arrive at the EDs, such as "the worried well" and "the walking wounded," could be treated at alternative sites.

➤**Recommendation G.1.a:** The City should develop a formal plan for treating less severe injuries at sites other than hospital EDs. Basic policy guidelines should be established by October 2006, with the plans incorporated into the City's and DPH's *Emergency Operations Plans* by June 2007.

➤**Recommendation G.1.b:** It is imperative that the City design and implement an ongoing and comprehensive mass media campaign to inform San Franciscans about the realities of a potential disaster and necessary steps to take in deciding where to seek medical care. The campaign should include a mapping of alternate delivery sites to encourage the general public to identify the nearest clinic/health center to their home and/or place of work and discourage use of EDs for non life-threatening injuries or illness. The media campaign should stress six critical messages for the public:

1. It might be days, a week or even more, before vital public services are restored, so be prepared. Log on to [www.72hours.org](http://www.72hours.org) at your home or library for details on what your stockpile of supplies should include.

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<sup>62</sup> Accessed on April 4, 2006, <[http://www.sfgov.org/site/sfnert\\_index.asp](http://www.sfgov.org/site/sfnert_index.asp)>

<sup>63</sup> San Francisco Emergency Medical Services Agency, *The San Francisco Disaster Registry Program Information*, accessed on February 16, 2006, <[www.sanfranciscoems.org/drp.php](http://www.sanfranciscoems.org/drp.php)>.

2. Seek care for minor illness/injury at the nearest alternative care site (clinic or health center) to your home or work. Remember that the medical resources of the city's hospitals will be limited and reserved for the most severely injured.
3. Get official updates and public announcements on Channel 26, on public radio (NPR station 88.5) and Channel 9 (KQED-TV), plus other designated stations and channels. Listen carefully to alerts and announcements through public loudspeakers.
4. Participate in NERT. Have block meetings to determine how neighbors will check up on each other.
5. If you are a senior citizen, have special medical needs or are disabled, sign up for the Disaster Registry Plan through the Department of Public Health. NERT volunteers will check on you eventually, but you need to be prepared "to go it alone" for the first hours, and possibly days, after the emergency.
6. Avoid calling 911 to ask questions about the disaster. Overloading the 911 phone lines means that people with serious injuries or problems won't be able to get the assistance they need. Listen to your radio or TV instead. (When 311 becomes operational, then the public should be advised to call 311 in lieu of 911.)

The campaign should be broad-based, with radio and television coverage; advertisements on buses/street cars; inserts in tax bills, utility bills, and paychecks to city employees; and poster materials and classroom curriculum for school-age children. Most importantly, the media campaign needs to be on-going, not a one-time project, in order to sensitize the public to the six critical issues, discussed above.

➤ **Recommendation G.1.c:** The [www.72hours.org](http://www.72hours.org) Web site should be upgraded to include more detail on where and when to seek medical care, by type of condition. For example, people with minor injuries should be advised to seek care in a clinic or alternate site, but people with potentially serious conditions should be advised to go to the nearest ED. Mapping of all EDs, clinics and alternate care sites should be included on the Web site, with phone numbers and detail on available services. Reflecting the message shared on the 72hours.org Web site, a multi-lingual *audio* CD should be distributed at various neighborhood venues to be shared with those that cannot speak or write English.

➤ **Recommendation G.1.d:** The City must determine which radio stations and TV channels, in addition to Channel 26 and public radio/television, will receive "official" city announcements and updates. This information needs to be disseminated to the public via the city's media campaign and whenever stations broadcast their emergency alert test signals.

➤ **Recommendation G.1.e:** Neighborhood disaster planning, such as currently being done in District 5, should be expanded, particularly in districts with vulnerable populations. NERT should continue to be funded as it is another critical element in both individual and neighborhood preparedness.



► **Recommendation G.1.f:** For those neighborhoods without clinics/health centers, it is essential that DPH identify alternative delivery sites, whether schools, fire stations or medical office buildings. DPH would work with personnel at alternative sites to identify needed supplies, equipment and pharmaceuticals. These sites would be listed on the 72hour.org Web site and in the mass media.

**Finding G.2:** Public, private, and parochial schools in San Francisco are an important vehicle for disseminating information on emergency preparedness. Multilingual materials distributed by the schools and by neighborhood programs (NERT, District 5) are important in overcoming language barriers and in encouraging self-help responses.

► **Recommendation G.2:** The Civil Grand Jury recommends developing a full scale preparedness program for ages 6 to 14, using multilingual materials to be taken home, to permit non-English speaking parents with no computer access to understand necessary steps for disaster preparedness. The materials should also include details on other city-sponsored programs, such as NERT and the Disaster Registry. There also should be neighborhood drills, using scenarios that have been described in the media and that allow volunteers to test their knowledge base. Planning for these drills should take into account the experience in other countries, such as Japan (earthquake responses) and Israel (terrorism responses).

► **Responses required from:**

Office of the Mayor (60 days), Board of Supervisors (90 days), OES/HS (60 days), DPH (60 days), EMSA (60 days), SFFD (60 days), SFPD (60 days), SFUSD (60 days), HCNCC (optional). For further details, refer to Section VII.



## VI. CONCLUSIONS: FINDINGS and RECOMMENDATIONS

There are three levels of findings from the Civil Grand Jury's analysis: 1) those that apply citywide, including surge capacity at public and private healthcare facilities, 2) those that apply across city departments, including budget limitations and other priorities driven by political, Civil Service and labor agendas, and 3) those that pertain to operations within a given department, involving staffing issues and morale.

At the city level, the most important finding relates to the lack of surge capacity at local facilities to meet the immediate health care needs of San Francisco residents, commuters and visitors after a mass emergency. Across city departments, disaster preparedness planning is not well-coordinated, with limited sharing of information. At the individual department level, there is a distinct gap between the written planning process and the ability to train and to oversee implementation of those plans. Medical preparedness requires strong leadership at OES/HS and DPH and a collaborative vision across all departments about how best to ensure the safety of all San Franciscans when a disaster strikes.

The Civil Grand Jury submits to the City and County of San Francisco and to the people of San Francisco that there are significant gaps in medical emergency preparedness. The key recommendations that underlie the findings in this report to be addressed in the immediate future are as follows:

1. OES/HS has to develop a strategic planning process and change the composition and use of the Disaster Council. The Disaster Council should become a true planning body, with high-level work groups having defined tasks and timelines. Hospitals want and need to be integral partners in the emergency planning process, including serving on the Disaster Council and in its work groups. (Recommendations A.1.a, A.1.b, B.1 and B.2)
2. The Mayor needs to ensure that a knowledgeable and experienced senior level person, with a proven track record of dynamic leadership, is recruited, preferably at OES/HS or possibly at DPH. This person needs to develop a process, in conjunction with the Mayor and Board of Supervisors, for incorporating the private sector fully into the emergency planning process and for ensuring that emergency procedures are achievable and understood by all city departments and the private sector. Another task involves assessing OPP and EMSA operations to determine appropriate placement of personnel and reporting lines. (Recommendations C.1, C.2 and C.3)
3. Emergency drills need to be realistic and test the ability of hospitals to meet surge goals and to properly use recently purchased or newly installed equipment. These drills should include local clinics to test their ability to handle patient overflow from nearby hospitals. The drills should also test *all* aspects of the City's communication plan. "Dead spots" for the siren alerts system should be noted by neighborhood and corrected. (Recommendations D.1, D.2.a, D.2.b, D.3, F.1, F.2 and G.1.a.)
4. OES/HS should issue official After Action Reports for city-sponsored drills no later

than 45 days after their completion. To ensure that the Mayor is kept apprised about the performance of individual city departments during drills, the Mayor's Office should review both initial write-ups and official After Action Reports for each drill. In this way, the Mayor will also see if the After Action Reports reflect the experience recorded by participants in the drill. (Recommendations E.1.a to E.1.c.)

- 5. The City needs to design and implement a mass media campaign to inform San Franciscans about the realities of a potential disaster and necessary steps to take in deciding when to seek medical care. The [www.72hours.org](http://www.72hours.org) Web site needs to have additional information on where and when to seek care. The City needs to designate specific radio stations and TV channels, in addition to Channel 26 and public radio/television, to receive "official" city announcements and updates. (Recommendations G.1.b to G.1.f)

- 6. Neighborhood disaster planning, as started in District 5, needs to be expanded to all districts. Implementation of neighborhood drills is recommended. (Recommendation G.2)

Principal findings regarding the status of community-wide preparations in San Francisco are summarized on the following page in Table II, using some key JCAHO recommendations seen earlier in Table I.

The primary recommendations that flow from the findings involve completion of the steps described as "not done," "in progress," "under discussion," "not yet operational," "not always working," and "inadequate."

TABLE II: GAPS IN EMERGENCY PREPAREDNESS

| <i>Community-wide Emergency Preparedness Recommendations:</i>                                                                                                                                     | <i>San Francisco Status:</i>                                                 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|
| 1. Determine standardized, universal measures of surge capacity.                                                                                                                                  | Done using only conservative HRSA measures.                                  |
| 2. Identify latent space capabilities and human resources capacities.                                                                                                                             | In progress.                                                                 |
| 3. Ensure hospitals have a 48 to 72 hour stand-alone capability through the appropriate stock-piling of necessary medications and supplies.                                                       | In progress.                                                                 |
| 4. Establish mutual aid agreements among hospitals and other health care organizations.                                                                                                           | Not done; under discussion.                                                  |
| 5. Support the provision of decontamination capabilities in each hospital.                                                                                                                        | Equipment provided, but training not done.                                   |
| 6. Assign highest priority to training of direct caregivers and their receipt of protective equipment, vaccinations, prophylactic antibiotics, chemical antidotes, and other protective measures. | Some equipment distributed; other supplies to be distributed in Summer 2006. |
| 7. Develop a centralized community-wide patient locator system.                                                                                                                                   | System purchased, but not yet operational.                                   |
| 8. Engage the mass media in the emergency preparedness planning process.                                                                                                                          | Not done.                                                                    |
| 9. Assure direct caregiver access to current information about the emergency on a continuing basis.                                                                                               | Communications devices in place, but not always working.                     |
| 10. Create redundant, interoperable communication capabilities.                                                                                                                                   | Partially in place.                                                          |
| 11. Regularly test, at least yearly, community emergency preparedness plans through reality-based drill.                                                                                          | Done semi-annually, but with limited success.                                |
| 12. Prospectively establish appropriate metrics to assess effectiveness of emergency plan.                                                                                                        | Not done; reports on drills are inadequate and not timely.                   |
| 13. Assure inclusion of all community emergency preparedness program participants in emergency plan tests.                                                                                        | Clinics not included to date.                                                |
| 14. Explore alternative options for providing sustained funding for hospital emergency preparedness activities.                                                                                   | Not done; City is currently dependent on federal grants.                     |

In summary, since the last Civil Grand Jury report of 2002-2003, much has been done to improve medical preparedness, thanks to the availability of federal funding and the work of OES/HS, DPH and SFFD. With federal funding likely to be curtailed, starting in 2007, the City needs to ensure that medical preparedness remains a high priority and that appropriate leadership is recruited to oversee the medical planning process. As noted in the write-ups on Katrina, it was “the failure of leadership” at the local, state, and federal level that led to the confusion in New Orleans after the hurricane. San Francisco needs to ensure that its local leadership never warrants similar criticism.

Finally, the Civil Grand Jury wishes to express its thanks to all the interviewees who participated in its investigation. Their well-articulated concerns about medical preparedness were the impetus for this investigation and report.





## VII. REQUIRED RESPONSES

Responses to the recommendations in this report are required to be received from the Board of Supervisors and city departments and agencies in accordance with the following Table. Responses are to be sent in writing and addressed to:

The Honorable Robert Dondero, Superior Court of California, City and County of San Francisco, San Francisco Civic Center Courthouse, 400 McAllister Street, San Francisco, California 94102

TABLE III: REQUIRED RESPONSE TIME TO RECOMMENDATIONS

|                                         | <i>Recommendations</i> |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
|-----------------------------------------|------------------------|-------|-----|-----|-----|-----|-----|-----|-------|-------|-----|-------|-------|-------|-----|-----|-------|-------|-------|-------|
|                                         | A.1.a                  | A.1.b | B.1 | B.2 | C.1 | C.2 | C.3 | D.1 | D.2.a | D.2.b | D.3 | E.1.a | E.1.b | E.1.c | F.1 | F.2 | G.1.a | G.1.b | G.1.c | G.1.d |
| <i>Response Required Within 90 Days</i> |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| Board of Supervisors                    | •                      | •     |     |     |     |     |     |     |       |       |     | •     | •     | •     |     |     | •     | •     | •     | •     |
|                                         |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| <i>Response Required Within 60 Days</i> |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| Office of the Mayor                     | •                      | •     | •   | •   | •   | •   | •   | •   | •     | •     | •   | •     | •     | •     | •   | •   | •     | •     | •     | •     |
| OES/HS                                  | •                      | •     | •   | •   | •   | •   | •   | •   |       |       |     | •     | •     | •     | •   | •   | •     | •     | •     | •     |
| DPH                                     |                        |       | •   | •   | •   | •   | •   | •   | •     | •     | •   | •     | •     | •     |     |     | •     | •     | •     | •     |
| OPP                                     |                        |       |     |     | •   | •   | •   |     |       |       |     |       |       |       |     |     |       |       |       |       |
| EMSA                                    |                        |       | •   | •   | •   | •   | •   | •   | •     | •     |     | •     | •     | •     |     | •   | •     | •     | •     | •     |
| Disaster Council                        |                        |       | •   |     |     |     |     |     |       |       |     | •     | •     |       |     |     |       |       |       |       |
| Health Commission                       |                        |       | •   | •   |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| CHN                                     |                        |       |     |     |     |     |     |     | •     | •     |     |       |       |       |     |     |       |       |       |       |
| Community Clinics Consortium            |                        |       |     |     |     |     |     |     | •     | •     |     |       |       |       |     |     |       |       |       |       |
| DTIS                                    |                        |       |     |     |     |     |     |     |       |       |     |       |       |       | •   |     |       |       |       |       |
| SFFD                                    |                        |       |     |     |     |     |     |     |       |       |     | •     | •     |       |     |     |       |       |       | •     |
| SFPD                                    |                        |       |     |     |     |     |     |     |       |       |     | •     | •     |       |     |     |       |       |       | •     |
| SFUSD                                   |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       | •     |
|                                         |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| <i>Response Optional</i>                |                        |       |     |     |     |     |     |     |       |       |     |       |       |       |     |     |       |       |       |       |
| HCNCC                                   | •                      | •     | •   |     |     |     |     | •   | •     |       |     |       |       |       | •   | •   | •     |       |       | •     |



## **VIII. APPENDICES**

- A. Acronyms
- B. Hospital Utilization in San Francisco
- C. Disaster Council Members
- D. Hospital Council Emergency Preparedness Scorecard
- E. Department of Health Organizational Chart
- F. EMS Landing Sites
- G. Sources Consulted

## APPENDIX A: ACRONYMS

CDC – Centers for Disease Control and Prevention  
CHN – Community Health Network (San Francisco Department of Health)  
CPMC - California Pacific Medical Center  
DEIR - Draft-Environmental Impact Report  
DHHS - Department of Health & Human Services  
DHS - Department of Homeland Security  
DOC - Department Operating Center  
DPH - San Francisco Department of Public Health  
DHS - Department of Homeland Security  
DSW – Disaster Service Worker  
DTIS – Department of Technology and Information Services  
EDs – Emergency Departments (a term now used in lieu of Emergency Rooms)  
EMS - Emergency Medical Services (San Francisco)  
EMSA - Emergency Medical Services Agency  
EMT - Emergency Medical Technician  
Civil Grand Jury - San Francisco 2005-2006 Civil Grand Jury  
EOC – Emergency Operations Center  
HCNCC – Hospital Council of Northern and Central California  
HRSA - Health Resources & Services Administration  
ICS - Incident Command System  
JCAHO - Joint Commission on Accreditation of Healthcare Organizations  
MONS - Mayor's Office of Neighborhood Services  
MUNI - Municipal Railway System (San Francisco)  
NDMS – National Disaster Medical System  
NERT - San Francisco Neighborhood Emergency Response Team Training program  
NIMS - National Incident Management System OES/HS - San Francisco Office of Emergency Services & Homeland Security  
OES/HS - Office of Emergency Services / Homeland Security  
OPP - Office of Policy & Planning  
OSHPD - California Office of Statewide Health Planning & Development  
SFFD - San Francisco Fire Department  
SFGH - San Francisco General Hospital Medical Center  
SFPD - San Francisco Police Department  
SFUSD – San Francisco Unified School District  
UASI - Urban Area Security Initiative  
UCSF - University of California at San Francisco Medical Center  
VA – Veterans Affairs



## APPENDIX B: HOSPITAL UTILIZATION IN SAN FRANCISCO

| <b>General Acute Care Facility Name</b> | <b>GAC Lic.<br/>Beds</b> | <b>GAC Bed<br/>Days</b> | <b>Total<br/>Lic.<br/>Beds</b> | <b>Total Lic.<br/>Bed Days</b> | <b>Total<br/>Hosp.<br/>Discharges</b> | <b>Census Days<br/>Total</b> |
|-----------------------------------------|--------------------------|-------------------------|--------------------------------|--------------------------------|---------------------------------------|------------------------------|
| CALIFORNIA PACIFIC-CALIF. EAST          | 95                       | 34770                   | 190                            | 69540                          | 1531                                  | 21556                        |
| CALIFORNIA PACIFIC-CALIF. WEST          | 382                      | 139812                  | 382                            | 139812                         | 8006                                  | 31708                        |
| CALIFORNIA PACIFIC-DAVIES               | 279                      | 102114                  | 341                            | 124806                         | 4577                                  | 40630                        |
| CALIFORNIA PACIFIC-PACIFIC              | 295                      | 107970                  | 325                            | 118950                         | 15549                                 | 82155                        |
| CHINESE HOSPITAL                        | 54                       | 19764                   | 54                             | 19764                          | 2193                                  | 11100                        |
| KAISER FND HOSP - GEARY S F             | 247                      | 90402                   | 247                            | 90402                          | 13052                                 | 64976                        |
| SAN FRANCISCO GENERAL HOSP.             | 403                      | 147498                  | 639                            | 242616                         | 16816                                 | 143361                       |
| ST. FRANCIS MEMORIAL HOSPITAL           | 287                      | 105042                  | 356                            | 130296                         | 6784                                  | 43344                        |
| ST. LUKES HOSPITAL                      | 150                      | 54900                   | 260                            | 95160                          | 6237                                  | 52474                        |
| ST. MARYS MEDICAL CENTER                | 336                      | 123226                  | 403                            | 150873                         | 7563                                  | 48305                        |
| UCSF MEDICAL CENTER                     | 547                      | 200202                  | 547                            | 200202                         | 26588                                 | 155052                       |
| UCSF MEDICAL CENTER-MT. ZION            | 140                      | 51331                   | 140                            | 51331                          | 2460                                  | 9328                         |
| <b>TOTALS:</b>                          | <b>3215</b>              | <b>1177031</b>          | <b>3884</b>                    | <b>1433752</b>                 | <b>111356</b>                         | <b>703989</b>                |
| <br>SFGH as % of TOTALS:                | 12.5%                    | 12.5%                   | 16.5%                          | 16.9%                          | 15.1%                                 | 20.4%                        |

Source:

California Office of Statewide Health Planning and Development, *State Utilization Data File of Hospitals, Calendar Year 2004*.

Abbreviations:

GAC = General Acute Care

Lic. = Licensed

Hosp. = Hospital

## **APPENDIX C: DISASTER COUNCIL MEMBERS**<sup>64</sup>

Honorable Gavin Newsom, Chair  
Annemarie Conroy, Office of Emergency Services / Homeland Security, Executive Secretary  
Heather Fong, Chief of Police  
Joanne Hayes-White, Fire Chief  
Trent Rhorer, General Manager, DHS  
Dr. Mitchell Katz, Director, DPH  
Edwin Lee, Director, DPW  
Chris Vein, Director, DTIS  
Chris Cunnie, Executive Director, ECD  
Susan Leal, General Manager, SFPUC  
Honorable Michael Hennessey, Sheriff  
Arlene Ackerman, Superintendent of Schools  
Edwin Lee, City Administrator  
Edward Harrington, Controller  
Dennis Herrera, City Attorney  
Harold Brooks, CEO, American Red Cross, Bay Area Chapter  
Honorable Fiona Ma, Member, Board of Supervisors  
Honorable Ross Mirkarimi, Member, Board of Supervisors  
Honorable Michela Alioto-Pier, Member, Board of Supervisors  
Gloria Young, Clerk, Board of Supervisors  
Dr. Amy Hart, Medical Examiner  
Honorable Kamala Harris, District Attorney  
Nathaniel Ford, Executive Director, MTA  
Stuart Sunshine, MTA  
Bond Yee, Acting Director, Department of Parking and Traffic  
Monique Moyer, Executive Director, Port of San Francisco  
Yomi Agunbiade, General Manager, Recreation and Parks  
John Martin, Director, San Francisco Airport  
Phil Ginsburg, Human Resources Director  
Naomi Little, Director, Office of Contract Administration  
Amy Lee, Acting Director, Bureau of Building Inspection

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<sup>64</sup> OES & DHS Council Meeting CITY AND COUNTY OF SAN FRANCISCO DISASTER COUNCIL January 17, 2006, Video available at [http://sanfrancisco.granicus.com/ViewPublisher.php?view\\_id=15](http://sanfrancisco.granicus.com/ViewPublisher.php?view_id=15) (accessed on March 28, 2006).

**APPENDIX D: HOSPITAL COUNCIL EMERGENCY  
PREPAREDNESS SCORECARD**<sup>65</sup>



TO: San Francisco Hospital Leaders

FROM: Ron Smith

RE: Emergency Preparedness and Scorecard

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At the request of the hospital leaders at the February 6<sup>th</sup> meeting, the Hospital Council Emergency Preparedness Taskforce has prepared the attached “San Francisco Hospitals – Emergency Preparedness Scorecard”. (Approved by the Taskforce representing all SF hospitals, the Scorecard was written by Debi Simon of CHW.)

I have two major concerns about the City’s emergency planning process. As far as we know there is no surge plan for more casualties than those our hospitals can handle.

The second concern is that there is no City plan to transport patients from our hospitals to other hospitals, helicopter landing sites, or SFO.

The City has twenty-one sites where helicopters can land. However, the City reports that none of these sites could accommodate a military helicopter that could hold several patients. The City also said that it would be politically impossible for the City to identify sites for such activity. The City pointed out the difficulty they have in getting even one helicopter pad approved at SFGH.

Cheryl Fama has suggested that perhaps now is the appropriate time to inform the Mayor of our progress and concerns. (Draft letter attached.)

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<sup>65</sup> Received by the 2005-2006 Civil Grand Jury on March 23, 2006

# SAN FRANCISCO HOSPITALS - EMERGENCY PREPAREDNESS SCORECARD

| ITEM                                             | ACTION NEEDED                                                                                                                                                                                              | RESPONSIBLE PARTY(IES)                      | COMPLETED |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-----------|
| <b>ITEMS BELOW DUE TO BE COMPLETED BY 7/1/06</b> |                                                                                                                                                                                                            |                                             |           |
| Surge Plan to 135% of ADC                        | Write Surge Plan to include:                                                                                                                                                                               | Hospital EM Committee                       |           |
|                                                  | <ul style="list-style-type: none"> <li>Physical space</li> <li>Facility based alternate care sites</li> <li>surge tent</li> <li>Beds/cots/gurneys</li> <li>Staffing</li> <li>Supplies/equipment</li> </ul> |                                             |           |
| Decontamination                                  | Identify Team members (disciplines, shifts, names); write Decontamination procedures                                                                                                                       | Hospital Haz Mat/EM Coordinators            |           |
| Revise Disaster Plans to reflect                 | <ul style="list-style-type: none"> <li>revised HEICS IV (if received)</li> <li>revised JCAHO EM Standards (major changes go into effect 7/1/2006)</li> </ul>                                               | Hospital EM Coordinator                     |           |
| MOU for Mutual Aid                               | Approve draft; submit to Legal for approval                                                                                                                                                                | Hospital EM Coordinator                     |           |
| Communications                                   | Participation in all daily and weekly communications tests (800MHz, HEARNet, EMSsystems)                                                                                                                   | Hospital EM Coordinator/ Materials Manager  |           |
|                                                  | Assess needs for structural work to accommodate satellite phone, 800 megahertz and HAM radios                                                                                                              | DPH/Hospital Pharmacist                     |           |
|                                                  | HAM Training: at least 2 per shift or minimum of 6 hospital staff trained                                                                                                                                  | Hospital Facilities Personnel with OES/ACS  |           |
|                                                  | Identify all locations which need dedicated backup power supply - telephone switches, all radio systems, all critical computers                                                                            | Hospital EM Coordinator                     |           |
|                                                  | Identify and establish working relationship with local SFPD and SFPD chiefs                                                                                                                                | Hospital Facilities Personnel               |           |
|                                                  | Begin document detailing information flow, communication priorities, location and operating procedures for all communications equipment                                                                    | Mgr, Public Safety/Security; Chief Engineer |           |
| Pharmaceutical Cache                             | Cache cart located in all participating hospitals; prophylactics can be provided to all staff, family, and patients.                                                                                       | Hospital EM Coordinator                     |           |
|                                                  |                                                                                                                                                                                                            | DPH/Hospital Pharmacist                     |           |



|                         |                                               |     |
|-------------------------|-----------------------------------------------|-----|
| Patient Tracking system | Hardware selected/purchased                   | DPH |
| SFCC HRSA Coordinator   | Job description written and position approved | DPH |

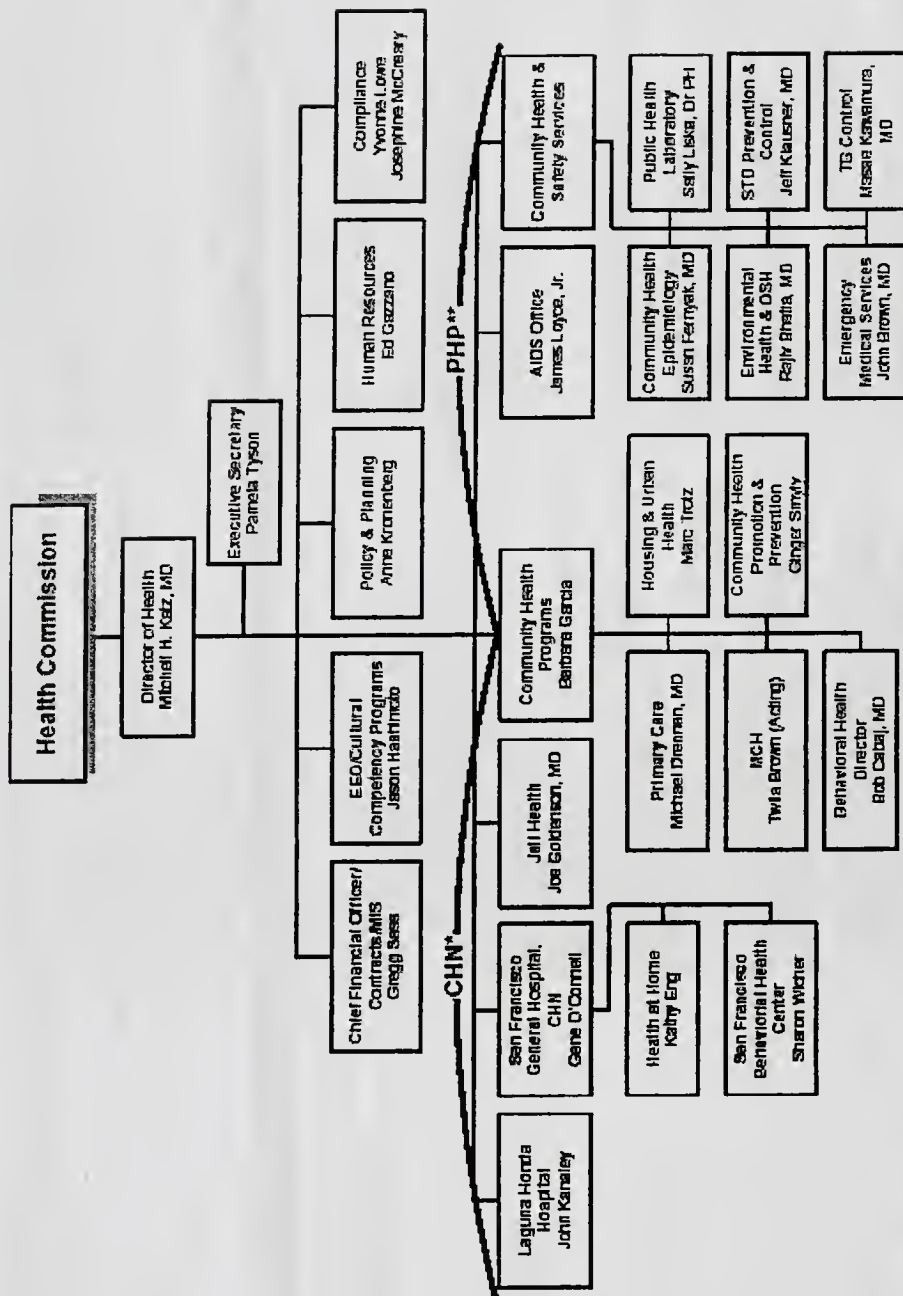
**ITEMS BELOW DUE TO BE COMPLETED BY 10/1/06**

|                         |                                                                                                                                            |                                                       |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|
| Surge Plan              | Plan and related policies and procedures finalized in preparation for 11/14/06 drill                                                       | Hospital EM Committee                                 |
| MOU for Mutual Aid      | Finalized in preparation to drill 11/14/06                                                                                                 | Hospital EM Coordinator/ Materials Manager            |
| Communications          | Requests for satellite phone, 800 megahertz and HAM radios submitted to OSHPD                                                              | Hospital Facilities Personnel                         |
|                         | Install dedicated backup power for all radios and critical computer equipment (battery / Universal Power Supply)                           | Hospital Facilities Personnel / Hospital IT Personnel |
|                         | Complete document detailing information flow, communication priorities, location and operating procedures for all communications equipment | Hospital EM Coordinator                               |
| Patient Tracking system | Hardware distributed                                                                                                                       | DPH                                                   |
|                         | Initial training complete                                                                                                                  | DPH and Hospital ED staff                             |
| Decontamination         | Train at least 3 potential Decon Team members per shift (no <9 per facility, by 8/31 per HRSA funding mandate*)                            | Hospital EM Committee/Education Dept                  |
| SFCC HRSA Coordinator   | Hired                                                                                                                                      | DPH                                                   |
|                         |                                                                                                                                            |                                                       |

**ITEMS BELOW DUE TO BE COMPLETED BY 11/1/07**

|                         |                                                          |                                  |
|-------------------------|----------------------------------------------------------|----------------------------------|
| Surge Plan              | Plan finalized based on drill findings<br>Staff educated | Hospital EM Committee            |
| MOU for Mutual Aid      | Finalized based on drill findings                        | ? Materials Manager              |
| Patient Tracking system | All hospitals trained to use system; website up          | DPH                              |
| Decontamination         | Drill decontamination team 2 times                       | Hospital Haz Mat/EM Coordinators |
| SF HRSA Coordinator     | Trained and productive                                   | DPH/Hospital EM Coordinators     |

# APPENDIX E: DEPARTMENT OF HEALTH ORGANIZATIONAL CHART



\*CHN = Community Health Network, the integrated health service delivery system of the Health Department

\*\*PHP = Population Health and Prevention

# APPENDIX F: EMS LANDING SITES

Appendix B: EMS LANDING SITES (page 1 of 2)

| ID    | SFFD<br>BATT.<br>STN. | LOCATION                                                                            | STREET                   | CROSS STREET                                           | LATITUDE    | LONGITUDE    | NEAREST<br>HOSPITAL           |
|-------|-----------------------|-------------------------------------------------------------------------------------|--------------------------|--------------------------------------------------------|-------------|--------------|-------------------------------|
| SF 1  | 1                     | Galileo High School football field                                                  | Polk                     | Bay                                                    |             |              | Chinese, St.<br>Francis, CPMC |
| SF 2  | 1                     | Nob Hill<br>(stop traffic on California St.)                                        | 1000 block<br>California | Taylor & Mason                                         |             |              | Chinese, St.<br>Francis       |
| SF 3  | 1                     | Pier 29 parking lot (behind Teatro<br>Zinzani; rear of parking lot)                 | Embarcadero              | Battery & Sansome                                      |             |              | Chinese, St.<br>Francis       |
| SF 4  | 1                     | Washington Square                                                                   | Union                    | Stockton                                               |             |              | Chinese, St.<br>Francis       |
| SF 5  | 2                     | James Lang Playground                                                               | Turk Street              | Octavia Street                                         | 37° 46.897' | 122° 25.527' | ST FRANCIS                    |
| SF 6  | 3                     | Jackson Playground                                                                  | 17 <sup>th</sup> Street  | Arkansas Street                                        | 37° 45.903' | 122° 23.926' | SF GENERAL                    |
| SF 7  | 3                     | Pier 30, 32                                                                         | Embarcadero              | Bryant & Brannan                                       |             |              | Chinese, St.<br>Francis, SFGH |
| SF 8  | 3                     | Treasure Island—Soccer Field/asphalt<br>parking lot                                 | 9 <sup>th</sup> Street   | Avenue "D"                                             | 37° 49.411' | 122° 22.410' | ST FRANCIS; SF<br>GENERAL     |
| SF 9  | 3                     | Yerba Buena Gardens                                                                 | Mission                  | 3 <sup>rd</sup> & 4 <sup>th</sup> Streets              |             |              | St. Francis, SFGH             |
| SF 10 | 4                     | Kimball Playground                                                                  | Pierce Street            | O'Farrell Street                                       | 37° 46.995' | 122° 25.527' | CPMC-PACIFIC;<br>KAISER SF    |
| SF 11 | 4                     | Lafayette Park: grass clearing at the<br>Southeast corner of Washington &<br>Laguna | Laguna                   | Washington                                             |             |              | CPMC, St. Francis             |
| SF 12 | 4                     | Moscone Playground                                                                  | Chestnut Street          | Buchanan Street                                        | 37° 48.079' | 122° 25.995' | CPMC-PACIFIC                  |
| SF 13 | 7                     | Big Rec—Golden Gate Park                                                            | Near Lincoln Way         | Between 5 <sup>th</sup> & 8 <sup>th</sup> Ave.         | 37° 46.002' | 122° 27.760' | UCSF                          |
| SF 14 | 7                     | Kezar Stadium—Golden Gate Park                                                      | Near Frederick           | Willard                                                | 37° 46.042' | 122° 27.296' | UCSF                          |
| SF 15 | 7                     | Polo Field—Golden Gate Park                                                         | Near Lincoln Way         | Between 31 <sup>st</sup> & 36 <sup>th</sup><br>Avenues | 37° 45.932' | 122° 29.652' | VA Med Cntr;<br>UCSF          |
| SF 16 | 7                     | Roosi Playground                                                                    | Arguello Blvd.           | Edward Street                                          | 37° 46.702' | 122° 27.499' | ST. MARY'S                    |
| SF 17 | 7                     | Upper Great Highway—parking lot<br>area                                             | Upper Great<br>Highway   | Fulton Street                                          | 37° 46.276' | 122° 29.981' | VA Med Cntr                   |
| SF 18 | 8                     | South Sunset                                                                        | 40 <sup>th</sup> Avenue  | Wawona Street                                          | 37° 44.184' | 122° 29.840' | VA Med Cntr,<br>UCSF          |
| SF 19 | 8                     | West Sunset #3 Playground                                                           | 39 <sup>th</sup> Avenue  | Ortega Street                                          | 37° 44.967' | 122° 29.981' | VA Med Cntr,<br>UCSF          |
| SF 20 | 8                     | West Sunset #2 Playground                                                           | 41 <sup>st</sup> Avenue  | Pacheco Street                                         | 37° 45.069' | 122° 29.867' | VA Med Cntr,<br>UCSF          |



# EMS LANDING SITES. Page

2

APPENDIX A: AIRPORT LANDING SITES (PAGES 1-2)

| ID    | SFFD<br>BATT.<br>STN. | LOCATION                                                               | STREET                            | CROSS STREET                                   | LATITUDE    | LONGITUDE    | NEAREST<br>HOSPITAL      |
|-------|-----------------------|------------------------------------------------------------------------|-----------------------------------|------------------------------------------------|-------------|--------------|--------------------------|
| SF 21 | 9                     | Balboa Playground                                                      | Ocean Avenue                      | San Jose Avenue                                | 37° 43.355' | 122° 26.725' | ST LUKES                 |
| SF22  | 9                     | Crocker Amazon Field                                                   | Geneva Street                     | Moscow Street                                  | 37° 42.777' | 122° 26.004' | ST LUKES                 |
| SF23  | 10                    | Candlestick Park Parking Lot—K-<br>railed area between gates "E" & "F" | North of traffic<br>control tower | Across from R. V. Park                         | 37° 42.83'  | 122° 23.12'  | SF GENERAL               |
| SF24  | 10                    | Hunters Point Naval Shipyard                                           | Hussey                            | Manseau                                        | 37° 43.24'  | 122° 21.97'  | SF GENERAL;<br>ST. LUKES |
| SF25  | 6, 10                 | Rolph Playground                                                       | Cesar Chavez<br>(Army)            | Potrero Avenue                                 | 37° 44.979' | 122° 24.362' | SF GENERAL;<br>ST. LUKES |
| SF 26 | NPS*                  | Crissy Field (NPS* LZ# 63)                                             | Marine Drive                      | Access through Marina<br>Gate, W on Marine Dr. | 37° 48.15'  | 122° 28.01'  | VA Med Cntr              |
| SF 27 | NPS*                  | Presidio Main Parade Grounds (#65)*                                    | Montgomery                        | Lincoln                                        | 37° 48.02'  | 122° 27.29'  | VA Med Cntr              |
| SF 28 | NPS*                  | Fort Scott Parade Grounds (#66)*                                       | Ralston                           | Stone                                          | 37° 48.04'  | 122° 28.28'  | VA Med Cntr              |
| SF 29 | NPS*                  | Baker Beach Parking Lot (#67)*                                         | Battery Chamberlin                | Bowley                                         | 37° 47.34'  | 122° 28.60'  | VA Med Cntr              |



## **APPENDIX G: SOURCES CONSULTED**

### **Interviews with Representatives from:**

City and County of San Francisco Office of Emergency Services and Homeland Security

City and County of San Francisco Disaster Council

City and County of San Francisco Board of Supervisors Budget Analyst's Office

City and County of San Francisco Department of Health

City and County of San Francisco Office of Policy & Planning

City and County of San Francisco Emergency Management Services Agency

City and County of San Francisco Community Clinics Consortium

City and County of San Francisco Office of Emergency Services and Homeland Security –  
Auxiliary Communications Service

City and County of San Francisco Unified School District, Emergency Planning

City and County of San Francisco Fire Department

San Francisco VA Medical Center, Emergency Management Strategic Healthcare Group

Hospital Council of Northern and Central California

San Francisco General Hospital

San Francisco General Hospital Foundation

Various Private Hospitals in San Francisco

State of California Office of Homeland Security

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A Report of the 2005-2006 Civil Grand Jury  
For the City and County of San Francisco

**SAN FRANCISCO'S  
INFORMATION TECHNOLOGY HIGHWAY:  
POTHoles OR POSSIBILITIES**

Released May 2006

## Purpose of the Civil Grand Jury

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco—to develop constructive recommendations for improving the operations of the City and County of San Francisco, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which officers, departments and agencies it will investigate during its one year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee researches in depth the departments or areas which are being investigated, by visiting government facilities, meeting with public officials, and reading appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at: [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680), or by contacting Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## State Law Requirement

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or identifying information about individuals who provided information to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. As to each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, §. 933, 933.05.)



## PURPOSE OF THIS REPORT

To provide focus, recommendations and support for improving Information Technology programs and operations in the City and County of San Francisco.

### I. SUMMARY

#### *All Roads Lead to Change*

In October 2005, this Civil Grand Jury (CGJ) began an investigation of the current status and effectiveness of the City and County of San Francisco's (the City) Information Technology (IT) programs and operations. Excluded from the analysis were the pending 311 Call Center and Wi-Fi installation since neither was operational during our study.

In the course of our investigation, a number of issues surfaced. These included the following:

1. The Department of Telecommunications and Information Services (DTIS), which is responsible for managing IT for the City, is not respected by other City departments. A series of short-term leaders in DTIS, the loss of a significant number of DTIS personnel, and an inability to deliver needed services in a timely manner have affected the functioning of the department. Other City departments find DTIS expensive and unreliable.
2. The Committee on Information Technology (COIT), the IT policy advisory group mandated by the City's Administrative Code,<sup>1</sup> is not living up to the original expectations. Infrequent meetings, City departmental disregard for the

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<sup>1</sup> San Francisco Administrative Code, §3.24, Committee On Information Technology. Mayor's Finance Director, a member of the Board of Supervisors, the Controller, the Director of Telecommunications and Information Services or their designee, and one department head from each of the following six groupings of departments: (a) Public Protection, (b) Public Works, Transportation and Commerce, (c) Human Welfare and Neighborhood Development, (d) Community Health, (e) Culture and Recreation, (f) General Administration and Finance. The department heads shall be selected annually by the four continuing members. The Committee on Information Technology shall take a leadership role in encouraging and coordinating departmental efforts in the use of new technology. The Committee shall promote interdepartmental cooperation and City standards. It shall review major interdepartmental and citywide projects and make policy recommendations thereon. (Added by Ord. 223-97, App. 6/6/97)

Administrative Code relating to COIT, a reduction of personnel, and internal personnel issues have all contributed to COIT's ineffectiveness.

3. Improved leadership, IT knowledge sharing, centralization of some services, and the development of a citywide IT plan were all called for in numerous studies and reports conducted for the City in the last ten years. These recommendations are as valid today as when each of the reports was first issued.
4. Small departments that rely on general funding for their technology needs are often at a distinct disadvantage financially compared to Enterprise Departments where external funding can be applied to IT projects.<sup>2</sup>
5. Given the unique needs, requirements, and deadlines of Enterprise Departments, it is unrealistic for these departments to rely on DTIS for all their IT services. City staff has proposed a "hybrid"<sup>3</sup> IT program as a potential solution to the tug-of-war between centralization and decentralization of IT functions.
6. City departments seldom share IT knowledge, thus duplicating efforts and increasing costs to the City.
7. The Executive Director of IT for the City and County of San Francisco is classified as a department head. Given the size and complexity of City IT operations, the Civil Grand Jury recommends reclassifying the position to that of a Chief Information Officer (CIO). This reclassification would provide the necessary authority and recognition for that individual to design and implement overdue changes in administration of IT services citywide.

There is ample evidence to support the need to create an efficient and cost-effective IT program. Suggestions for action offered by this CGJ include the following:

- Changing the structure and operation of DTIS.
- Reviewing the purpose, function, and operation of COIT or the designated IT policy making group.
- Monitoring future IT expenditures and cost savings using data from the Fiscal Year (FY) 2005-2006 Budget as a starting point.
- Increasing citywide IT collaboration and cooperation.
- Establishing and empowering the position of CIO to lead the design, implementation and monitoring of IT changes.

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<sup>2</sup> Enterprise Departments are large departments with budgets augmented by fees, grants and other funding sources that are generally earmarked for the specific use of those departments.

<sup>3</sup> In the hybrid model, IT functions common to most City departments (e.g., e-mail, etc.) would be centralized. IT functions unique to a given department would remain in that department.

## II. INTRODUCTION

### *Technology at the Crossroads*

*"With \$5 million in settlements, don't let anyone tell you we can't afford a computer system. Think of what settlements we could have avoided if we had this technology in advance. Money is not an appropriate excuse. Money is not the reason we haven't put the system in place. It's political will."<sup>4</sup>*

On February 12, 2006, Mayor Gavin Newsom offered the above response to a *San Francisco Chronicle* series about the use of force by the San Francisco Police Department. Unfortunately, the inefficient and costly use of information technology by the City is not limited to the Police Department.

The year 1996 was a pivotal one for IT in the City. KPMG<sup>5</sup> and City officials—including Board of Supervisors members, Mayoral representatives, City management, private sector executives, members of the press and the public—completed a “*Strategic Plan for Information Technology*” for the City. The plan recommended:

- A coordinated IT Strategic Plan, leading to common standards, priorities and methods.
- The development of a “one-stop shop” for technological innovation, information, advice and support.
- A combination of centralized and decentralized resources to provide flexibility.

As a result of the KPMG study, several technology organizations within the City were combined to create DTIS.<sup>6</sup> Political leaders understood that IT was an uncoordinated function. In May 1996, the Civil Grand Jury released its report, “*Information Technology Services in San Francisco Government*,” which highlighted the City’s IT issues. In July 1996, as part of the budget process, COIT was created.<sup>7</sup>

One need only “fast forward” from 1996 and to 2006 to realize how quickly information technology has changed—and continues to change. While DTIS is expected to *constantly* upgrade and update its technology and its training programs, it has been faced with annual budget deficits for the last several years and a reduction in IT personnel. In addition, the City must compete with the private sector and other regional governments for IT professionals. Civil

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<sup>4</sup> Sward, Susan 2006. THE USE OF FORCE: Mayor demands accountability. Newsom responds to *San Francisco Chronicle* police use-of-force series, cites need for ‘political will’ to set up computer tracking system. The *San Francisco Chronicle*, February 12.

<sup>5</sup> KPMG LLP, the U.S. member firm of KPMG International, a Swiss cooperative. KPMG LLP is a provider of audit, risk advisory, and tax services.

<sup>6</sup> San Francisco Administrative Code, §11.86. DTIS replaced the Department of Electricity and Tele-communications, the Information Services Division of the Controller’s Office (including BIPSC), Citywatch and 911. (Added by Ord. 293-96, App. 7/17/96; amended by Ord. 58-00, File No. 000198, App. 4/7/2000; Ord. 203-04, File No. 040752, App. 8/5/2004)

<sup>7</sup> The amendment to §3.24 of the San Francisco Administrative Code was added by Ordinance. 223-97, approved by the Board of Supervisors on. 6/6/97.



Service rules and City pay scales contribute to the City's difficulties in hiring and retaining individuals with state-of-the-art IT skills. All these factors have had an adverse impact on DTIS and on the City's ability to keep pace with technological change.

City policy seems to put off long-term investments in technology to "another day." In 2006, and as part of a region known globally for its technology and innovation, San Francisco government continues to lag behind other cities and counties in its use of technology. Sources both inside and outside the City's IT structure have regularly made recommendations for change but have been routinely ignored during the past ten years. Consequently, neither the efficiencies nor the savings that should result from the development of a state-of-the-art technology program appear to be in place today.

In the course of this CGJ investigation and as this report goes to press, positive movement forward is actually taking place. Some of the positive IT activities we have observed include:

- The newly created General Services Agency (GSA)<sup>8</sup> now incorporates DTIS (Appendix A) and is overseen by the new Chief Administrative Officer (CAO). One goal of the agency is the reassessment of the City's IT structure. At preliminary budget hearings before the Budget and Finance Committee on April 5, 2006, Chris Vein, DTIS Executive Director, presented general plans for that reassessment.
- In November 2005 and December 2005, the Budget and Finance Committee of the Board of Supervisors (the Board) conducted hearings on issues related to IT procurement and maintenance. An update to those hearings was held on April 10, 2006 at the Board's Government Audit and Oversight Committee. A new IT vision was presented by the DTIS Executive Director. Both the vision and the recommendations appeared to be well received by the Board.
- In 2006, the Controller's Office will be providing a fresh perspective on IT as a result of a Performance Audit of DTIS.
- Under GSA, the responsibility for reviewing IT budget items has moved from COIT to the Mayor's Budget Office. Instructions to departments for FY 2006-2007 budget preparation reflect this change. (Appendix B)

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<sup>8</sup> GSA was created by the Office of the Mayor in FY 2005-2006 under the auspices of Article III, §3.104, the Charter of the City and County of San Francisco. Departments reporting to the Director of GSA/City Administrator include: The Department of Administrative Services, the Department of Public Works, the Department of Animal Care and Control, the Department of Medical Examiner, the Department of Convention Facilities and the Department of Telecommunications and Information Systems. The City Administrator's Office also oversees the following programs and other offices: the Grants for the Arts Program, the Mayor's Office on Disability, the Labor Standards Office, the Entertainment Commission, the County Clerk, the Immigrant Rights Commission, and the 311 Project.



- The pending introduction of the 311 Call Center<sup>9</sup> and the Wi-Fi installation<sup>10</sup> for the City's citizens indicates that the City is beginning to give technology the needed attention it deserves.
- On March 30, 2006, the COIT convened its first meeting since May 2005. At that time, the DTIS Executive Director, introduced a new vision for the City's IT services (Appendix C) which addresses many of the issues that, if acted upon, will significantly improve the City's IT capabilities and efficiencies.

None of the findings and recommendations of this CGJ's report were disclosed prior to the issuance of this report; however, many of the proposals announced at the March 30, 2006 COIT meeting are similar to our recommendations. The CGJ arrived at its findings and recommendations independently and the majority of recommendations in this report were in place prior to the COIT meeting. We felt that recommendations supportive of the new vision were appropriate and these were added to the report following the COIT meeting.

The City staff and others interviewed for this report were candid, cooperative, and generally knowledgeable about the state of the City's IT programs and operations. They provided us with data, directed us to others knowledgeable about the City's IT programs, and kept us informed of City meetings that addressed IT issues. We are very appreciative of their assistance.

In writing this report, we determined some findings and recommendations were appropriately placed under more than one heading so as to provide clarity to the subject. It is our hope that, by implementing the recommended IT solutions, the delivery of City IT services will become more efficient, the use of taxpayers' money will be maximized, and funds will be freed up for other important needs of our fellow San Franciscans.

### III. PROCEDURE

#### *Many Roads Leading Nowhere*

The CGJ used multiple sources of information to determine the current status and effectiveness of the City's IT programs and to ensure that our findings and recommendations are credible, valid, and realistic. The CGJ:

- Examined "hard copy" documents provided by various City departments and electronic documents available on the [www.sfgov.org](http://www.sfgov.org) website.
- Interviewed approximately 25-30 individuals and departments knowledgeable about IT and/or in IT-related positions in City government.

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<sup>9</sup> 311 Call Center, a customer service center that will receive public calls for information and requests for government services. The 311 Call Center will provide a single point of contact for all non-emergency City services and allow customers to call one easy-to-remember number to receive information and access City services.

<sup>10</sup> Wi-Fi is wireless fidelity—a broadband wireless network. The Wi-Fi project will establish a City-wide universal, wireless broadband network in San Francisco.

- Attended open meetings that focused on IT issues.
- Conducted Internet research to obtain local as well as national data and information.
- Reviewed studies and recommendations by outside consultants and in-house personnel. We looked at material from 1996 to the present that focused on improving the City IT programs and operations.

Interviewees included personnel from various City departments, union representatives, City Supervisors, and individuals in the Mayor's Office. The CGJ interviewed former employees who held important IT positions during the past ten-years. Also interviewed was an East Coast CIO who was cited by several interviewees and a national publication as being responsible for an exemplary governmental IT program.

## IV. BACKGROUND

### *Roads Not Taken*

The studies and reports of 1996 set the stage for the development of an IT organization within the City and resulted in the establishment of DTIS and COIT. Selected report/study recommendations were put in place in the years between 1996 and 2000.

Then the Y2K crisis served to once again highlight IT in the City. Another series of reports and studies about City IT issues began in 2000 and continues to the present. Recommendations for IT reform are common themes in each study. (**Appendix D** presents a more detailed chronology of IT reports from 1996-2000.)

In June 2000, at the request of a member of the Board of Supervisors, the Office of the Legislative Analyst studied the cost and structure of IT in the City and issued a report entitled, *"Information Technology within San Francisco."*<sup>11</sup> Two of five recommendations presented were (1) "Urge COIT to adopt more IT standards and policies for City departments and DTIS to develop a long term architectural vision for information technology. . . ." and (2) "Encourage City departments to share their technological advancements with each other." The study also recommended looking at other jurisdictions and cited the City of Phoenix and the City of Philadelphia as governmental IT programs to review.

Between August 2001 and January 2002, Public Technology, Inc. (PTI)<sup>12</sup> issued a series of reports based on a number of focus groups and meetings with City departments. In one of the reports, *"City/County of San Francisco, CA SWAT Enterprise I/T Report,"*<sup>13</sup> three key

<sup>11</sup> Cabrera, Gabriel. 2000. "Information Technology within San Francisco." Legislative Analyst Memorandum to the San Francisco Board of Supervisors. June 22. [http://www.sfgov.org/site/uploadedfiles/bdsupvrs/leganalyst/reports/008-00\\_Information\\_Technology\\_Final.pdf](http://www.sfgov.org/site/uploadedfiles/bdsupvrs/leganalyst/reports/008-00_Information_Technology_Final.pdf)

<sup>12</sup> The Public Technology Institute (Public Technology Inc.) is a national member-supported technology organization created by and for cities and counties in the U.S. As a member, the City and County of San Francisco obtained consulting services from PTI.

<sup>13</sup> Public Technology, Inc.: Enterprise IT Initiative communications plan," September 2001; "SWAT Report, Enterprise IT," December 2001; "Enterprise IT Initiative Action Plan," January 2002.

recommendations included: (1) “Establish a full-time and empowered Chief Information Officer,” (2) “Codify department and enterprise roles,” and (3) “Establish Project Management standards.”

In February 2002, DTIS Executive Director Liza Lowery developed a comprehensive vision for IT entitled, “*An Enterprise Approach to IT: A Proposal to Centralize Information Technology Management & Resources*.”<sup>14</sup> Based largely on information collected by PTI, two of the former DTIS Executive Director’s recommendations were: (1) “Review and adopt an IT strategic plan” and (2) “Development and management of IT best practices, standards, and policies. . . .”

Almost immediately following the submission of the report to then Mayor Brown, the report’s author, Liza Lowery, resigned. Her departure in March 2002 left the carefully crafted IT vision without an advocate in “the wings” to carry out her recommendations. As a result, both the plan and the vision lost momentum and were not implemented. The status quo remained unchallenged.

A new mayoral campaign got underway in 2003. In his campaign, candidate Gavin Newsom advocated new technology programs for the City and issued a series of white papers.<sup>15</sup>

In 2004, newly elected Mayor Newsom and his administration increasingly highlighted technology. The implementation of a 311 Call Center, as outlined in a campaign white paper, became one Mayoral priority<sup>16</sup> and is scheduled for activation in 2006. As part of City services, Wi-Fi,<sup>17</sup> a wireless system to connect San Francisco’s citizens to the Internet, is also on its way to becoming a reality in 2006.

## V. DISCUSSION: FINDINGS & RECOMMENDATIONS

### *Follow the Yellow Brick Road*

#### 1. Department Of Telecommunications and Information Services (DTIS)

DTIS is a relatively new department in the City. Since its inception in 1996, DTIS has struggled to merge the operations of four separate City organizations—the Department of Electricity and Telecommunications (DET), the Information Services Division (ISD) of the Controller’s Office, Citywatch, and the 911 call system.

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<sup>14</sup> Lowery, Liza M. 2002. “An Enterprise Approach to IT: A proposal to centralize information management and technology.” DTIS, City and County of San Francisco. February.

<sup>15</sup> Newsom, Gavin: 2004. “A Thriving Economy, A Thriving City: A Plan to Develop and Support Small and Local Businesses;” “311: Improved Customer Service and Public Safety for San Francisco,” “A Safer City: Making San Francisco Safer During Emergencies,” “Compstat: New Tools for Police Accountability,” “Excellence in Government: How Citistat will transform San Francisco.” Newsom for Mayor 2004.

<sup>16</sup> Newsom, Gavin, Policy Paper: “311: Improved Customer Service and Public Safety for San Francisco, September 2, 2004. ([http://www.sfgov.org/site/uploadedfiles/mayor/policy/NEWSOM\\_311.pdf](http://www.sfgov.org/site/uploadedfiles/mayor/policy/NEWSOM_311.pdf) as of 4/19/04)

<sup>17</sup> Koytoff, Verne. 2006. Wi-Fi Panel Reviews Bidders; San Francisco moving closer to citywide network. The San Francisco Chronicle, April 6.



For the FY 1996-1997 Budget, then Mayor Brown embraced the idea of centralized technology and added responsibility for citywide telecommunications issues, such as Cable TV and the development of a City Telecommunications Plan, to DTIS's mission.

However, other aspects of IT management, resources, and the delivery of City IT services have remained fairly decentralized. Enterprise Departments<sup>18</sup> supplement their City budget dollars with funds from outside sources. The use of outside dollars varies by department—some of the funds are directed for specific purposes within the department and other funds can be used at the discretion of the department.

With the exception of an annual general fund allocation and capital and/or grant funding, DTIS must recover operating costs by providing and billing City departments and other customers for services. To do so, DTIS relies upon a cost development and recovery process that is supported by a rate model. The rate model is a computer program that DTIS uses to develop a billable rate. Ultimately, however, it is the buying decisions of its customers—of City departments—that determine the financial health of DTIS.

Although not directed exclusively to DTIS, in an effort to address waste and inefficiency, all City departments must submit an Efficiency Plan to the Mayor and the Board of Supervisors by October of each year.<sup>19</sup> The preparation of these plans offers each City department an opportunity to review its current status and practices and to outline opportunities and plans for the future. Ultimately, these plans provide a base from which policy and budgetary decisions may be made.

The content requirements of these plans are very specific. A Strategic Plan is an important section in each department's Efficiency Plan. In October 2005, DTIS submitted an impressive Strategic Plan. Unfortunately, other City departments are seemingly unaware of the DTIS plan and are not using its content as a road map for developing future IT programs or adopting its recommendations.

The Civil Grand Jury commends DTIS Executive Director Chris Vein for bringing forth the IT vision presented at the March 30, 2006 COIT meeting (**Appendix C**) and for providing details for its implementation. The CGJ supports this vision and we concur with a phasing in of the proposed changes. We encourage the City's elected leaders to support the plan financially and for City departments to implement the proposed changes.

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<sup>18</sup> Enterprise departments are large, revenue-making city departments, including the Department of Public Health, Department of Human Services, San Francisco Airport, MUNI, the Department of Public Works and the Public Utilities Commission.

<sup>19</sup> San Francisco Administrative Code, §88.4, Efficiency Plans. [T]he head of each department shall prepare and submit to the Mayor by October 1st and to the Board of Supervisors by November 1st a departmental efficiency plan. Each plan shall include a customer service element, a strategic planning element, an annual performance element, and a performance evaluation element for the previous fiscal year. . . The plan shall cover a period of not less than three years forward from the fiscal year in which it is submitted.



## Findings

- 1.a There is a general dissatisfaction with DTIS costs and its ability to deliver services in a timely manner. In 2003-2004, the actual satisfaction by customers was only 43%.<sup>20</sup>
- 1.b The State has absorbed some IT services that were formerly the responsibility of DTIS thus reducing its workload, personnel and income. As an example, Child Support Services was taken over by the State in January 2006. This meant the loss of three programmer and six operator positions.
- 1.c In the last four years, approximately 100 DTIS staff positions were lost due to budget cuts.
- 1.d Civil Service rules favor seniority at the time of layoffs. This has tended to eliminate “recent hires” who may have had state-of-the-art technology skills.
- 1.e In 2005, a newly appointed City Administrator brought DTIS under the organizational responsibility of the General Services Agency.

## Recommendations

- 1.1 Provide DTIS personnel with training to obtain the skills needed to demonstrate to City departments that DTIS can go beyond the technical side of IT and provide effective project management, not just technical services. IT vendors’ professional service contracts should include a provision mandating the training of City IT employees in the use and maintenance of the relevant software and/or hardware, as appropriate.
- 1.2 Monitor and evaluate the success of “in house” training that is performed by professional services contractors as a condition of future contracts.
- 1.3 Restructure IT functions around a “hybrid” model. Services and functions common to all 64 City departments should be centralized. IT functions specific and unique to individual departments should continue to remain in those departments.
- 1.4 The person who oversees IT activities citywide should be elevated to a Chief Information Officer.
- 1.5 Make changes to the Administrative Code to strengthen DTIS as proposed in public forums by both the City Administrator and the DTIS Executive Director. The CGJ strongly supports their recommendations.

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<sup>20</sup> 2003. Mayor's Budget Report, 2003-2004.

- 1.6 Mayor Newsom and the Board of Supervisors should provide adequate funding for departments to implement the IT vision presented at the COIT meeting on March 30, 2006.

**Required Responses:**

Mayor's Office – 60 days  
Board of Supervisors – 90 days  
DTIS – 60 days  
COIT – 60 days  
GSA – 60 days

## **2. Committee On Information Technology (COIT)**

DTIS was established as an IT operations department. The second component of the City's IT organization as established in 1996 was the Committee on Information Technology. The City's political leaders envisioned COIT to be the policy-making group for the City's technology activities<sup>21</sup> and to be responsible for formulating and defining the direction of IT in the City. COIT was also given the responsibility for the review of IT projects over \$5 million and the monitoring of all multi-departmental and citywide IT projects.<sup>22</sup>

Clearly defined responsibilities served to guide COIT in its early years. Today, COIT has become an ineffective body. The mechanics of its operation are still present, but the committee has met only as budget time approaches. COIT's guidance and oversight is largely on paper and is seen as a "hoop" to go through in the budget process.

Regardless of proposals for new technology projects, each year all City departments are required to submit folios to COIT.<sup>23</sup> Folios are intended to update the departments' IT plans and progress. In 2005, only 11 of the City's 64 departments submitted folios, essentially ignoring Administrative Code requirements with little expectation of negative ramifications. The process has been revised for FY 2006-2007 and is outlined in the Memorandum to Department CFOs and CIOs. (Appendix B)

All findings and recommendations should take into consideration any proposed reorganization and change that may result from the vision presented at the March 30, 2006 COIT meeting.

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<sup>21</sup> The departments and individuals that compose COIT are: the Mayor's Budget Director, a member of the Board of Supervisors, the Controller, the Director of DTIS or their designee and one department head from each of the following six groupings: (1) Public Protection, (2) Public Works, (3) Human Welfare and Neighborhood Development, (4) Community Health, (5) Culture and Recreation and (6) General Administration and Finance.

<sup>22</sup> Including a citywide data network and a citywide area network (WAN) that connects facility-specific local area networks (LANs).

<sup>23</sup> San Francisco Controller's Office, 2005. "A Guide to San Francisco's Budget Process, Budget year 2005-2006." April 2005

## **Findings**

- 2.a The COIT staff and COIT leadership do not communicate with one another.
- 2.b The last announced meeting of COIT, prior to the March 30, 2006 meeting, was on May 10, 2005.
- 2.c A review of the minutes of prior COIT meetings (one in 2004 and two in 2003) disclosed the agendas consisted mostly of routine IT updates with little emphasis on long-term technology priorities.
- 2.d Section III of the City Administrative Code stipulates that all departments provide a three-year projection folio and annual progress reports. In 2005, only 11 of 64 departments submitted folios to COIT.

## **Recommendations**

- 2.1 Restructure COIT so that it is a recognized and functional policy-making body that defines the direction of IT in the City.
- 2.2 Ensure that the City's policy-making IT body (currently COIT) meets regularly (e.g., monthly or bimonthly).
- 2.3. Amend the Administrative Code so that only documents that are realistic and necessary are required to justify each department's IT planning and expenditures.
- 2.4 Institute a policy that outlines budget consequences for City departments that do not comply with the Administrative Code.

### **Required Responses:**

Mayor's Office – 60 days  
Board of Supervisors – 90 days  
DTIS – 60 days  
COIT – 60 days  
GSA – 60 days

## **3. Budget and Finance**

The CGJ obtained financial information from the General Services Agency and the Controller's Office. Salaries and data processing/IT costs were provided for all departments. As of February 21, 2006, and for FY 2005-2006, the *total* expenditure by the City for IT programs and operations was approximately *\$133 million*. The table below shows total budgeted IT



expenses by department.<sup>24</sup> Less than one fifth of all IT expenditures are in DTIS,<sup>25</sup> the department originally created to accomplish this work.

| Department                        | IT Headcount | Annual Salary with 28.5% Fringe | Budget 05-06 Dollars* | Total IT Dollars | Percent of IT Dollars |
|-----------------------------------|--------------|---------------------------------|-----------------------|------------------|-----------------------|
| Department Of Public Health       | 163          | \$18,275,010                    | \$7,689,006           | \$25,964,016     | 19.5%                 |
| DTIS (GSA TELECOMM and IT)        | 171          | \$19,584,346                    | \$5,071,967           | \$24,656,313     | 18.5%                 |
| Human Services                    | 52           | \$5,084,939                     | \$10,794,629          | \$15,879,568     | 11.9%                 |
| Public Utilities Commission       | 85           | \$9,712,620                     | \$5,854,696           | \$15,567,316     | 11.7%                 |
| Airport                           | 68           | \$8,239,175                     | \$2,697,923           | \$10,937,098     | 8.2%                  |
| MUNI                              | 35           | \$3,969,063                     | \$2,576,778           | \$6,545,841      | 4.9%                  |
| Department Of Public Works        | 31           | \$3,875,428                     | \$540,769             | \$4,416,197      | 3.3%                  |
| Controller                        | 16           | \$1,879,076                     | \$1,534,402           | \$3,413,478      | 2.6%                  |
| Department Of Building Inspection | 16           | \$1,805,412                     | \$1,428,360           | \$3,233,772      | 2.4%                  |
| Police                            | 13           | \$1,434,189                     | \$1,369,198           | \$2,803,387      | 2.1%                  |
| Public Library                    | 11           | \$1,093,233                     | \$931,059             | \$2,044,292      | 1.5%                  |
| Heron's Head Park (Part Of Port)  |              | \$0                             | \$1,439,805           | \$1,439,805      | 1.1%                  |
| City Planning                     | 6            | \$622,995                       | \$677,575             | \$1,300,570      | 1.0%                  |
| Human Resources                   | 11           | \$1,227,657                     | \$40,585              | \$1,268,242      | 1.0%                  |
| All Other Departments             | 72           | \$8,084,576                     | \$5,727,143           | \$13,811,719     | 10.4%                 |
|                                   | 750          | \$84,887,718                    | \$48,393,835          | \$133,281,553    | 100.0%                |

As discussed in the DTIS section of this report, there is general dissatisfaction with DTIS prices and the department's ability to deliver services in a timely manner. Over time, several large departments have developed their own internal technology groups which rival and, in one case, surpasses DTIS's own budget.

In many departments, unique IT needs have been the impetus for developing and relying on internal staff to meet those needs. This is especially true for large City departments such as the Department of Public Health or the Department of Human Resources. IT groups within these large departments are responsible for satisfying governmental requirements, conducting essential business functions, and developing and supporting departmental IT applications. Other City departments often find it less expensive to contract work out than to build a strong internal department or to use DTIS.

In effect, the City's current "hybrid" IT environment presents the City with the challenge of maintaining a balance between centralization and decentralization. Issues of governance, accountability, and communication between departmental systems should be addressed. *The duplication now present in the technology infrastructure creates a waste of taxpayer dollars.*

<sup>24</sup> When selecting a budget item figure, we used the higher figure of "actual" or "budgeted." We are also cognizant that funds may carry over from or apply to more than one fiscal year.

<sup>25</sup> Information provided by the Offices of the City Administrator and the Controller.



It is hoped that the “total expenditure figure” will offer a starting point from which to measure future cost savings.

### *Findings*

- 3.a No “citywide” IT planning or governance is functioning in the City.
- 3.b No individual or department is assigned responsibility for reviewing contracts from a citywide point of view. At this time contracts are viewed from a departmental perspective.
- 3.c Less than 20% of the City’s IT dollars are spent in the City’s designated IT department—DTIS.
- 3.d The services offered by DTIS are cited by City departments as expensive compared with those of outside contractors. The use of “loaded costs” and a work order funding process contribute to the high cost of DTIS services.

### *Recommendations*

- 3.1 The CIO, as part of the budget process, should review departmental IT plans.
- 3.2 The CIO or his designee should review IT contracts to ensure that a “whole city” point of view is followed.
- 3.3 Ensure that COIT or a similar citywide IT planning structure is recognized as the policymaking group that defines the City’s direction for *all City departments*.
- 3.4 Restructure DTIS so that services common to all City departments are centralized there. Specifically, these services would include but would not be limited to: network and communications infrastructure, desktop management, data center operations, centralized project management, e-mail, and help desk functions.
- 3.5 DTIS should provide assistance to small departments to help determine and meet their technology requirements.
- 3.6 Conduct an inventory of the City’s current IT holdings. This would include location and age of software and hardware plus the duration and terms of both maintenance and professional services contracts.

**Required Responses:**

Mayor's Office – 60 days  
Board of Supervisors – 90 days  
DTIS – 60 days  
COIT – 60 days  
GSA – 60 days  
OCA – 60 days

#### **4. Information Technology Governance**

The City has known for the past ten years that it needed to make changes to its IT system. Despite valid recommendations and important studies, “21st Century state-of-the-art technology” has been elusive, due to a lack of willingness on the part of the City to carry out the recommendations.

Interviews with today's stakeholders identify the same fundamental issues reiterated so many times in the past:

- Lack of a well-defined citywide IT Strategic Plan with short-term goals, benchmarks and timelines.
- The persistence of competing IT priorities and expensive uncoordinated IT practices across departments.
- Autonomous IT development in large Enterprise departments.
- In other departments, use of general funds for core services, with IT given low priority.
- The need to have recognized IT leadership with appropriate authority to design and enforce a well-articulated IT strategy.

Technology is one of those areas of change that some people and departments embrace and “run with” and others fight. The problem is aggravated by the speed of IT change in terms of hardware, software, and complexity. Veteran IT personnel, who have adapted to numerous waves of technological change, may be justifiably apprehensive of new technology. To have a state-of-art IT system, entrenched patterns of behavior need to be examined and the process for adoption of new technologies needs to be redefined.

#### **Findings**

- 4.a Despite the Mayor's view that the DTIS Executive Director is considered the CIO for citywide IT functions, in reality the DTIS Executive Director is a department head without authority over other department heads.

- 4.b While the Administrative Code defines DTIS as the City's IT Department, because of its unsatisfactory performance ratings and high costs, many City departments have sought IT solutions outside of DTIS. Today, only 18.5% of total IT dollars flows through DTIS.

### Recommendations

- 4.1 Empower a CIO who has a blend of technical expertise and political dexterity to take over IT development. This position should be a Mayoral Cabinet position and have a long term contract similar to those of the City Administrator or the Controller.
- 4.2 Adopt an IT vision with specific short-term actions, backed by the political will and resources necessary to move it forward.
- 4.3 Create a new organizational name for DTIS and redefine its powers so that other departments recognize DTIS as the department responsible for IT governance.
- 4.4 Think "hybrid!" DTIS should include a high-level transition plan for moving the City from its current decentralized structure to one that combines centralization and decentralization.
- 4.5 Consider a centralized IT governance strategy and the formation of new IT support groups to provide input and expertise in areas such as:
- A citywide policy-level group responsible for developing priorities, standards, and methods.
  - A group that would encourage interdepartmental sharing and cooperation.
  - A technical advisory group to provide technical review of projects, departmental system plans, and oversee the implementation of projects.
- 4.6 Reduce replication and redundancy and improve information sharing among departments by consolidating common applications.
- 4.7 Tie departmental IT plans to the budget process that is overseen by the CIO.

#### **Required Responses:**

Mayor's Office – 60 days

Board of Supervisors – 90 days

DTIS – 60 days

GSA – 60 days

## **5. Leadership**

Over the past decade, DTIS has not had the advantage of long-term leaders. During the nine-year period from 1996 to 2005, six different people held the position of the Executive

Director of DTIS. As a result of the turnover in leadership, the department lost its focus. The lack of continuity of leadership over the years, together with a decentralized IT structure and a loss of confidence in the department's ability to deliver services, are contributing factors that make the present DTIS leadership position extremely challenging. In contrast, department heads of the older, established departments, such as police, fire, and public health, have recognition and support. Until recently, support for the leadership of DTIS was lacking.

In the San Francisco Bay Area and in the City and County of San Francisco, filling managerial positions in the field of information technology poses unique challenges. As a desirable residential and employment area of the nation, employment opportunities in the City have their drawbacks due to the high cost of living and regional competition for IT talent. The City must give careful consideration to drawing and retaining talented IT management. The opportunities for public service need to be matched with a salary scale for the IT leader that is commensurate with the expectations of a CIO position.

According to the City's Annual Salary Ordinance for FY 2005-2006,<sup>26</sup> the Salary Classification for the DTIS Director is a 0963 Department Head Level III. In a Salary Plan that has three ranges, A, B, and C, (Appendix E) as of May 2006, the salary will range from \$116,064-\$180,076. The median salary for a CIO in San Francisco is approximately \$238,000<sup>27</sup> or a difference of almost \$60,000.

No strategic plan or new IT vision can be implemented without the guidance of a strong and capable leader. If DTIS is to be recognized as the department that brings IT into the 21st Century, then its leader must be given the tools and support to make it happen. A new beginning for DTIS demands the commitment and support of the Mayor and the Board of Supervisors for its leadership. It also requires long-term investments by the City and, as appropriate, legislation to empower DTIS leadership.

### **Findings**

- 5.a Despite a number of previous recommendations to establish a CIO, that has not happened.
- 5.b As a department head, the Executive Director of DTIS does not have adequate authority over other City departments necessary to implement recommended changes or to provide adequate service to the public.
- 5.c DTIS has had six directors in ten years.
- 5.d The median salary for a CIO in San Francisco is approximately \$238,000. The annual salary range for the DTIS Executive Director, \$116,064-\$180,076 (5/06) is not commensurate with the responsibilities of the position or the geographical area.

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<sup>26</sup> "Annual Salary Ordinance for Fiscal Year Ending June 30, 2006." City and County of San Francisco, File No. 051131, Ordinance No. 204-05, August 4, 2005, p. 176. (see <http://www.sfgov.org/site/uploadedfiles/dhr/ASO.pdf> as of 4/25/06)

<sup>27</sup> <http://swz.salary.com/salarywizard> (4/06)



## **Recommendations**

- 5.1 Elevate the classification and position of DTIS Executive Director and establish the management position of CIO with commensurate salary.
- 5.2 Re-evaluate the classification of the CIO position for FY 2006-2007 with the eventual goal of reclassifying the position to Department Head V.
- 5.3 Ensure, as a part of a restructured IT governance body, that the CIO is provided with the authority needed to overhaul the City's fragmented system and oversee *all* aspects of the City's IT. Philadelphia provides a working example of this.<sup>28</sup>

### **Required Responses:**

Mayor's Office – 60 days  
Board of Supervisors – 90 days  
DTIS – 60 days  
GSA – 60 days

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<sup>28</sup> Neff, Dianah L. "Five-Year Plan," Mayor's Office of Information Services. Philadelphia, PA January 23, 2006.  
(<http://www.phila.gov/mois/fiveyearplan.html> - 4/22/06)

## SUMMARY OF FINDINGS AND RECOMMENDATIONS AND REQUIRED RESPONSES

Below is a summary of Findings and Recommendations in the order they appear in the 2005-2006 Civil Grand Jury Report: *"San Francisco's Information Technology Highway: Potholes or Possibilities."*

### 1. DEPARTMENT OF TELECOMMUNICATIONS AND INFORMATION SERVICES (DTIS)

#### FINDINGS

- 1.a There is a general dissatisfaction with DTIS costs and its ability to deliver services in a timely manner. In 2003-2004, the actual satisfaction by customers was only 43%.
- 1.b The State has absorbed some IT services that were formerly the responsibility of DTIS thus reducing its workload, personnel and income. As an example, Child Support Services was taken over by the State in January 2006. This meant the loss of three programmer and six operator positions.
- 1.c In the last four years, approximately 100 DTIS staff positions were lost due to budget cuts.
- 1.d Civil Service positions favor seniority at the time of layoffs. This has tended to eliminate "recent hires" that may have had state-of-the-art technology skills.
- 1.e In 2005, a newly appointed City Administrator brought DTIS under the organizational responsibility of the General Services Agency.

#### RECOMMENDATIONS AND REQUIRED RESPONSES

*Mayor's Office – 60 days | Board of Supervisors – 90 days | DTIS – 60 days | COIT – 60 days | GSA – 60 days*

- 1.1 Provide DTIS personnel with training to obtain the skills needed to demonstrate to City departments that DTIS can go beyond the technical side of IT and provide effective project management, not just technical services. IT vendors' professional service contracts should include a provision mandating the training of City IT employees in the use and maintenance of the relevant software and/or hardware, as appropriate.
- 1.2 Monitor and evaluate the success of "in house" training that is performed by professional services contractors as a condition of future contracts.
- 1.3 Restructure IT functions around a "hybrid" model. Services and functions common to all 64 City departments should be centralized. IT functions specific and unique to individual departments should continue to remain in those departments.
- 1.4 The person who oversees IT activities citywide should be elevated to a Chief Information Officer (CIO).
- 1.5 Make changes to the Administrative Code to strengthen DTIS as proposed in public forums by both the City Administrator and the DTIS Executive Director. The CGJ strongly supports their recommendations.
- 1.6 Mayor Newsom and the Board of Supervisors should provide adequate funding for departments to implement the IT vision presented at the COIT meeting on March 30, 2006.

### 2. COMMITTEE ON INFORMATION TECHNOLOGY (COIT)

#### FINDINGS

- 2.a The COIT staff and COIT leadership do not communicate with one another.
- 2.b The last announced meeting of COIT, prior to the March 30, 2006 meeting, was on May 10, 2005.
- 2.c A review of the minutes of prior COIT meetings (one in 2004 and two in 2003) disclosed the agendas consisted mostly of routine IT updates with little emphasis on long-term technology priorities.
- 2.d Section III of the City Administrative Code stipulates that all departments provide a three-year projection folio and annual progress reports. In 2005, only 11 of 64 departments submitted folios to COIT.

#### RECOMMENDATIONS AND REQUIRED RESPONSES

*Mayor's Office – 60 days | Board of Supervisors – 90 days | DTIS – 60 days | COIT – 60 days | GSA – 60 days*

- 2.1 Restructure COIT so that it is a recognized and functional policy making body that defines the direction of IT in the City.
- 2.2 Ensure that the City's policymaking IT body (currently COIT) meets regularly (e.g., monthly or bimonthly).
- 2.3 Amend the Administrative Code so that only documents that are realistic and necessary are required to justify each department's IT planning and expenditures.
- 2.4 Institute a policy that outlines budget consequences for City departments that do not comply with the Administrative Code.

### 3. BUDGET AND FINANCE

#### FINDINGS

- 3.a No "citywide" IT planning or governance is functioning in the City.
- 3.b No individual or department is assigned responsibility for reviewing contracts from a citywide point of view. At this time contracts are viewed from a departmental perspective.
- 3.c Less than 20% of the City's IT dollars are spent in the City's designated IT department—DTIS.
- 3.d The services offered by DTIS are cited by City departments as expensive compared with those of outside contractors. The use of "loaded costs" and a work order funding process contribute to the high cost of DTIS services.



**RECOMMENDATIONS AND REQUIRED RESPONSES**

*Mayor's Office – 60 days | Board of Supervisors – 90 days | DTIS – 60 days | COIT – 60 days | GSA – 60 days | OCA – 60 days*

- 3.1 The CIO, as part of the budget process, should review departmental IT plans.
- 3.2 The CIO or his designee should review IT contracts to ensure that a "whole city" point of view is followed.
- 3.3 Ensure that COIT or a similar citywide IT planning structure is recognized as the policymaking group that defines the City's direction for ALL City departments.
- 3.4 Restructure DTIS so that services common to all City departments are centralized there. Specifically, these services would include but would not be limited to: network and communications infrastructure, desktop management, data center operations, centralized project management, e-mail, and help desk functions.
- 3.5 DTIS should provide assistance to small departments to help determine and meet their technology requirements.
- 3.6 Conduct an inventory of the City's current IT holdings. This would include location and age of software and hardware plus the duration and terms of both maintenance and professional services contracts.

**4. INFORMATION TECHNOLOGY GOVERNANCE**

**FINDINGS**

- 4.a Despite the Mayor's view that the DTIS Executive Director is considered the CIO for citywide IT functions, in reality the DTIS Executive Director is a department head without authority over other department heads.
- 4.b While the Administrative Code defines DTIS as the City's IT Department, because of its unsatisfactory performance ratings and high costs, many City departments have sought IT solutions outside of DTIS. Today, only 18.5% of total IT dollars flows through DTIS.

**RECOMMENDATIONS AND REQUIRED RESPONSES**

*Mayor's Office – 60 days | Board of Supervisors – 90 days | DTIS – 60 days | COIT – 60 days | GSA – 60 days*

- 4.1 Empower a CIO who has a blend of technical expertise and political dexterity to take over IT development. This position should be a Mayoral Cabinet position and have a long term contract similar to those of the City Administrator or the Controller.
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- 4.4 Think "hybrid!" DTIS should include a high-level transition plan for moving the City from its current decentralized structure to one that combines centralization and decentralization.
- 4.5 Consider a centralized IT governance strategy and the formation of new IT support groups to provide input and expertise in areas such as:
  - A citywide policy-level group responsible for developing priorities, standards, and methods.
  - A group that would encourage interdepartmental sharing and cooperation.
  - A technical advisory group to provide technical review of projects, departmental system plans, and oversee the implementation of projects.
- 4.6 Reduce replication and redundancy and improve information sharing among departments by consolidating common applications.
- 4.7 Tie departmental IT plans to the budget process that is overseen by the CIO.

**5. LEADERSHIP**

**FINDINGS**

- 5.a Despite a number of previous recommendations to establish a CIO, that has not happened.
- 5.b As a department head, the Executive Director of DTIS does not have adequate authority over other City departments necessary to implement recommended changes or to provide adequate service to the public.
- 5.c DTIS has had six directors in ten years.
- 5.d The median salary for a CIO in San Francisco is approximately \$238,000. The annual salary range for the DTIS Executive Director, \$116,064-\$180,076 (5/06) is not commensurate with the responsibilities of the position or the geographical area.

**RECOMMENDATIONS AND REQUIRED RESPONSES**

*Mayor's Office – 60 days | Board of Supervisors – 90 days | DTIS – 60 days | COIT – 60 days | GSA – 60 days*

- 5.1 Elevate the classification and position of DTIS Executive Director and establish the management position of CIO with commensurate salary.
- 5.2 Re-evaluate the classification of the CIO position for FY 2006-2007 with the eventual goal of reclassifying the position to Department Head V.
- 5.3 Ensure, as a part of a restructured IT governance body, that the CIO is provided with the authority needed to overhaul the City's fragmented system and oversee all aspects of the City's IT. Philadelphia provides a working example of this.

## GLOSSARY

|                             |                                                                                                                                                                   |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 311 .....                   | Phone number for City non-emergency services                                                                                                                      |
| Application.....            | Computer program designed for a specific task for individual departments                                                                                          |
| Best practices .....        | Most effective means of performing a function, derived from studying successful cases                                                                             |
| CAO .....                   | Chief Administrative Officer                                                                                                                                      |
| Centralization.....         | Consolidation of IT in the City under a single, central authority                                                                                                 |
| CGJ .....                   | Civil Grand Jury                                                                                                                                                  |
| CIO.....                    | Chief Information Officer                                                                                                                                         |
| Citywatch .....             | SF government TV cable channel 26                                                                                                                                 |
| COIT .....                  | Committee on Information Technology                                                                                                                               |
| DET.....                    | Department of Electricity and Telecommunications, merged with ISD to form DTIS                                                                                    |
| DTIS.....                   | Department of Telecommunications and Information Services                                                                                                         |
| Enterprise Department ..... | City department which generates income from services                                                                                                              |
| Governance .....            | Persons who make up a body to govern or administer something                                                                                                      |
| GSA.....                    | General Services Agency                                                                                                                                           |
| Hybrid .....                | Information Technology structure combining centralization for common functions, such as e-mail, and de-centralization for individual departmental applications    |
| IFPTE.....                  | International Federation of Professional and Technical Engineers                                                                                                  |
| ISD .....                   | Information Services Division, merged with DET to form DTIS                                                                                                       |
| IT.....                     | Information Technology                                                                                                                                            |
| KPMG.....                   | provider of audit, risk advisory, and tax services                                                                                                                |
| Loaded costs.....           | Extra costs for performing a service, such as what DTIS needs to charge some departments because "richer" departments have their own IT personnel and bypass DTIS |
| OCA .....                   | Office of Contract Administration                                                                                                                                 |
| Political will.....         | The desire of officials to pursue certain policies, especially when they challenge the status quo.                                                                |
| PTI.....                    | Formerly known as Public Technology, Inc., Public Technology Institute is a non-profit organization that brings technology to local government.                   |
| SWAT .....                  | Special Weapons and Tactics (Team). Police term used by Public Technology, Inc. to evaluate SF's IT organization and make recommendations                         |
| Wi-Fi.....                  | Wireless (fidelity) local area network                                                                                                                            |



## RESOURCES

### INTERVIEWS

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Board of Supervisors, City and County of San Francisco  
Committee on Information Technology (COIT) Staff  
Department of Telecommunications and Information Services (DTIS)  
Former employees of DTIS  
International Federation of Professional & Technical Engineers (IFPTE)  
Mayor's Office, City and County of San Francisco  
Members, Board of Supervisors, City and County of San Francisco  
Office of Contract Administration/Purchasing  
Office of the City Administrator City and County of San Francisco  
Office of the Controller, City and County of San Francisco,  
Office of the Legislative Analyst, Board of Supervisors

### DOCUMENTS

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*"Agile By Design"*: Computerworld: December 12, 2005, Julie King  
*Information Technology*, Civil Grand Jury Report, 1996.  
*DTIS Efficiency Plan*, October 1, 2005.  
*City and County of San Francisco Office of Contract Administration: Rules and Regulations Pertaining to the San Francisco Administrative Code, Chapter 21*, Naomi Little, City Purchaser and Director, June 2005  
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*Mayor's Policy Pledge Index*, January 2006 [www.sf.gov.org](http://www.sf.gov.org)  
*"Planning in San Francisco; too much of a good thing?"* David Prowler, *Examiner* February 9, 2006.  
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*"Police can't take care of business – SF officials must change city's management ways"*, Kevin J. Mullen, *San Francisco Chronicle*, February 19, 2006.  
*"City faces deficit, possible layoffs despite gains,"* Justin Jouvenal, *Examiner*, December 7, 2005.  
*"The State Of The City: Then and Now"*, Staff Writer *San Francisco Chronicle*, October 27, 2005.

### STUDIES/REPORTS

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*"Information Technology within San Francisco,"* Office of the Legislative Analyst. June 22, 2000.  
*1999 KPMG Strategic Plan* by contracted consultants  
*3ll: Improved Customer Service and Public Safety for San Francisco*, PowerPoint Presentation

*City & County of San Francisco An Enterprise Approach to IT: A Proposal to centralize information technology management & resources:* Liza M. Lowrey, Executive Director, Department of Telecommunication & Information Services, February 2002.

*COIT Annual Business Folio Report*

*PTI Survey and Results Reports*, Public Technology, Inc.

*"Enterprise IT Initiative Communications Plan,"* September 2001, Public Technology, Inc.

*"SWAT Report, Enterprise IT"* December 2001, Public Technology Inc. SWAT Team

*"Enterprise IT Initiation Action Plan,"* January 2002, Public Technology, Inc.

*IT Strategic Plan for the City of Philadelphia*, May 2003.

## **OPEN MEETINGS**

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Board of Supervisors City & County of San Francisco - Budget and Finance Committee—

November 17, 2005, December 1, 2005, and April 5, 2006.

COIT Meeting, March 30, 2006

Government Audit and Oversight Committee, April 10, 2006.

## **WEBSITE REFERENCES**

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[www.ci.baltimore.md.us/services](http://www.ci.baltimore.md.us/services) City of Baltimore, Maryland website Services webpage

[www.businessweek.com](http://www.businessweek.com) January 23, 2006, "Working Life, Call Centers in the Rec Room," Michelle Conlin

[www.sfgov.org/site/uploadedfiles/dhr/ASO.pdf](http://www.sfgov.org/site/uploadedfiles/dhr/ASO.pdf) , Annual Salary Ordinance.

3-27-00

City Administrator  
Asst. City Administrator

### GSA-Wide Support

Budget Management  
Human Resources  
Strategic and Customer Service  
Planning  
Emergency Response Planning  
City Administrator Support Staff

### City Administrator Programs

Public Finance  
Risk Management  
Disability Access  
Labor Standards  
Grants for the Arts  
County Clerk  
Immigrant Rights Commission  
311 Call Center

### Departments with their own Appointing Officers

Animal Care and  
Control

Medical Examiner

Convention  
Facilities

Internal  
Services

Purchasing  
Fleet Management  
Reproduction and Mail  
Facilities Management  
Real Estate Services

Public Works

Architecture  
Building Repair  
Construction  
Management  
Engineering  
Street Environmental  
Svcs  
Street Use and Mapping  
Sewer Repair  
Urban Forestry

DTIS

Applications  
Operations  
Telecommunications  
Telephone Pass Thru



# MEMORANDUM

To: Department CFOs, CIOs  
 From: Noelle Simmons, Ed Lee, Chris Vein  
 Re: FY06-07 Information Technology Project Budget Requests  
 Date: February 3, 2006

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For fiscal year 2006-07, departments are requested to submit the attached Information Technology Project Request Form for all IT projects with a total project cost of \$500,000 or more. This form replaces COIT Folio forms and will be used to anticipate, plan for and track large technology needs across the City.

Please note that IT project requests submitted through this form should not duplicate FY06-07 equipment or capital requests. This form is intended for requests that involve large-scale system upgrades, or new technology initiatives. It is not intended to be used to request funds for routine replacement of IT equipment or maintenance of existing systems. Those requests should be submitted on the equipment request form or through base budget submissions.

Three copies of the requests are due with the department's budget submission to the Mayor's Budget Office by February 21, 2006. General Fund departments requesting new funding for an IT project should not load the expense into their budget without prior Mayor's Budget Office approval. A citywide committee formed to recommend projects to COIT will review all IT proposals.

## ***General Background Information***

Complete the supplemental budget form for each IT project proposed for FY06-07. Provide background information for the proposed project including a brief description of the project and the business rationale for the project including any estimated budgetary savings, operating efficiencies, or improved program outcomes anticipated to result from this investment. If the IT Project is required to comply with any State or Federal mandate, please indicate this on the form.

## ***Request Type and Description***

Please specify and briefly describe the major cost components of the project. Types of requests or expenses include: equipment/hardware, software, professional and specialized services, ongoing maintenance contracts, new department staffing requests, work orders to other departments, or other.

## ***Proposed Funding Source***

Indicate how the department plans to fund the major cost components of the project. The major funding categories include: funded in the department's FY06-07 base budget, a one-time request included in the department's 3% contingency plan, an unfunded project where new funding is requested from the General Fund, grants, or other.

## ***Proposed Project Budget***

Estimate the budget of the proposed IT project. Specify whether the project will require one-time investments over time (for example a project may be phased in over several years) and other anticipated ongoing maintenance needs.

## ***Timeline for Implementation/Annual Milestones***

Provide a timeline for implementation and completion including any annual milestones.

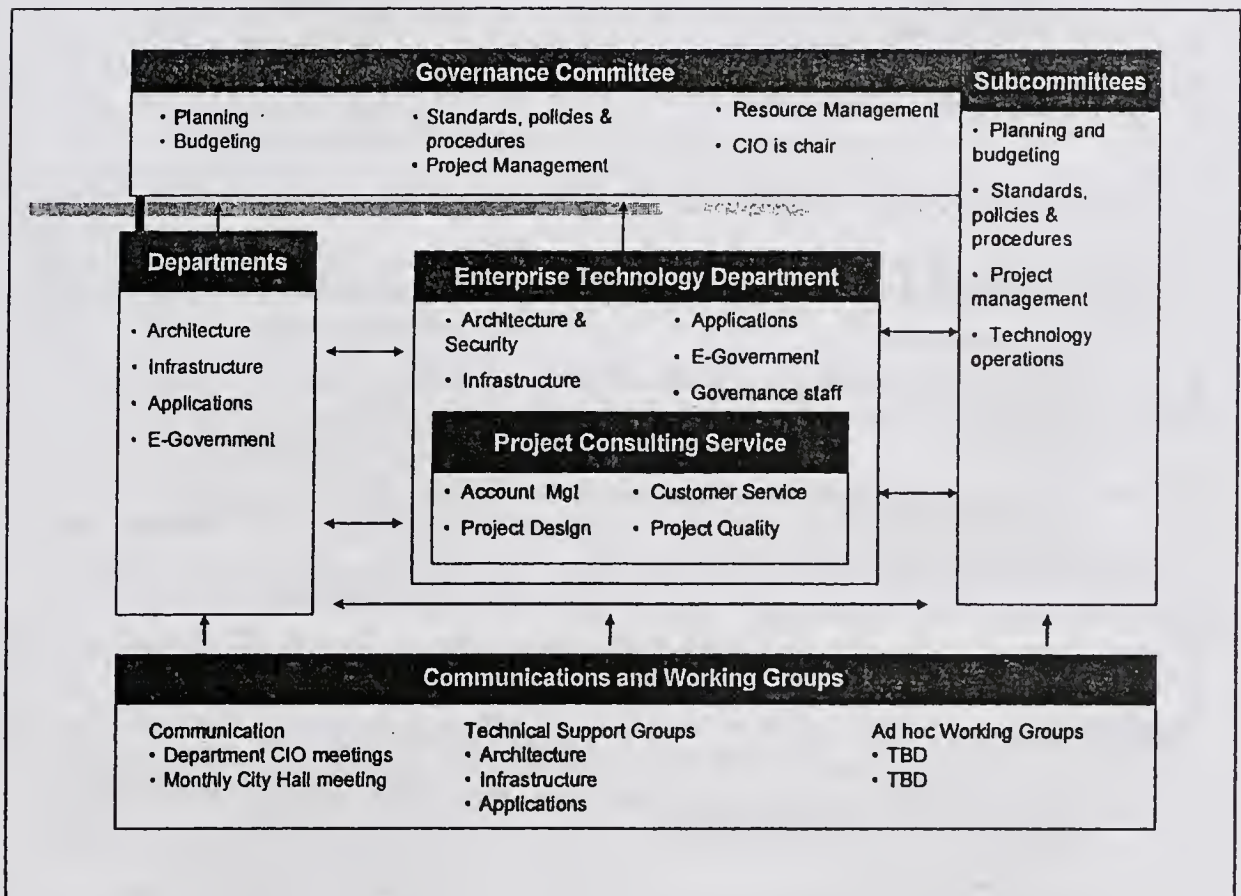
Please contact your Mayor's Office budget analyst with any questions.



## TEN YEARS AFTER THE 1996 IT PLAN CONSIDERATIONS & RECOMMENDATIONS

Presentation by Chris Vein to the  
Committee on Information Technology – March 30, 2006.

The CGJ has chosen to put the new vision of IT in a slightly different order from that presented at the March 30, 2006 COIT Meeting so that the new organization chart is presented first.



## Ten Years after the 1996 IT Plan Considerations & Recommendations

### Briefing to the Committee on Information Technology (COIT)

March 30, 2006

## In 1996 . . .

- Analog voice systems; proprietary data systems; growing use of world-wide web
- Federal telecommunications reform was in full swing
- San Francisco's economy was growing
- IT Plan recognized the need for change:
  - Common vision & plan
  - City-wide standards & policies
  - Seamless communication
  - Performance measurement & project plans
  - Adequate training & support
  - Security
- San Francisco responded by:
  - Creating new governance or policy bodies
  - Creating technology "one-stop-shop"

## But over time . . .

- Digital voice systems; more open technology systems; applications using world wide web
- San Francisco's economy stopped growing
  - Staffing reductions
  - Project hold
- We continued to recognize the need for change
  - 2001 Brown Initiative
  - 2002 & 2004 Telecomm Commission reports
  - COIT & SMPG discussions
  - DTIS internal reports
  - Board of Supervisors hearings
- Moved away from the vision of the 1996 IT Plan
  - Governance or policy bodies were defunded or met infrequently
  - Departments build own technology organizations; DTIS is not used as a "one-stop-shop"
  - Technology leadership becomes diffused

## Ten years later . . .

- Growing convergence of IT and telecomm infrastructure; defined & robust open technology systems; internet protocol new platform
- Multiple reform bills at the Federal and State levels
- San Francisco economy growing; deficit remains
- The City still needs
  - A common vision & plan
  - Alignment of plan with available resources
  - City-wide standards & policies
  - Quality controls
    - Project management
    - Performance measurement
    - Resource management
    - Adequate training & support
- Now faced with
  - Outdated technology infrastructure
  - "Shadow" systems
  - Inefficient, redundant business processing

## Considerations

- Role & responsibility of Governance
  - Functions
  - Policies
  - Processes
- Payment for technology
  - How to pay
  - How much to pay
- Importance of customer service
  - Governance
  - DTIS
  - Departments
- Centralization and/or decentralization of technology operations
  - Infrastructure such as mainframes and servers
  - Applications such as enterprise resource planning (ERP) or email
- Optimal organization and staffing model
  - Capabilities needed to support future applications and current capabilities
  - Most efficient organizational structures

## Recommendations

- Refocus the governance or policy bodies
  - Responsible for IT & telecommunications
  - Functional authority over all departments
    - Three-year City Plan
    - Budget
    - Standards, policies, and procedures
    - Quality oversight
    - Resource management
  - Supported by sub-committee structure
- Create enterprise Chief Information Officer function
  - Understand and focus on business issues of City
  - Translate between business needs & technology solutions
  - Lead governance or policy body
  - Create team & long term plan
- Refocus the technology one-stop-shop organization
  - Centralize functions to enterprise economies of scale; decentralized functions to department economies of scale
    - Architecture
    - Infrastructure
    - Applications
  - Create consultative approach to city problem solving
  - Provide staff support to Governance

## Plan

- Approve recommendations
- Charge DTIS Director with plan development and implementation
  - Project manager
  - Involve all departments at all levels
  - Short, medium, and long term initiatives
  - Recraft administrative code
- Propose short-term initiatives in FY 06-07 budget
  - Governance staff move into DTIS
- Report progress to new governance body monthly

## Outcome

- City-wide approach to IT and Telecommunications
- City technology leadership
  - Empowered governance
  - Enterprise technology leader - CIO
  - Continued strong Department leaders
- Clearly defined roles and responsibilities
  - New technology organization
    - Centralized common infrastructure
    - Technology consulting organization
  - Departments focusing on their unique business requirements
- Cross-department communication and problem solving

## A CHRONOLOGY OF SAN FRANCISCO INFORMATION TECHNOLOGY 1996-2006

### 1996

- KPMG and City officials complete a “*Strategic Plan for Information Technology*” for the City and County of San Francisco.” The plan includes recommendations for:
  - \* Development and implementation of a strategic plan. (Phase I)
  - \* Verification mechanism to ensure the strategic plan remained current and viable. (Phase II)
  - \* A technology vision with specific short-term actions.
  - \* The establishment of a “one-stop shop” for technological innovation, information, and support.
  - \* A technical staff with the necessary skills and capabilities.
  - \* Procurement processes that were timely, flexible, and responsive.
  - \* A new three-tiered centralized IT Governance Strategy including a Council on IT (COIT); a Technical Advisory Group (TAG); and a Central Technology Group.
  - \* A combination of centralized and decentralized resources.
  - \* Consistent investments in IT and multi-year budget processes.
- As a result of the KPMG study, DTIS is created by an Amendment to the San Francisco Administrative Code, Article IX Section 11.86. It features
  - \* An amendment to form DTIS, bringing together the Department of Electricity and Telecommunications and the Information Services Division of the Controller’s Office (including EIPSC), Citywatch, and the 911 call system.
  - \* The Director position for DTIS is created and the individual is designated to serve as the City’s Chief Information Officer (CIO).
  - \* The responsibilities of DTIS are outlined and include providing telecommunications and information services to City departments, overseeing cable television franchises, and the City’s cable access television channels.
- The Civil Grand Jury issues the report, “*Information Technology Services in San Francisco Government*” that highlighting IT issues. (May 1996) In *Responses to the Grand Jury Report*, Mayor Brown and City departments state they had already established initiatives aimed at charting a new course for the use of IT. They reference the KPMG Report.
- The Committee on Information Technology (COIT) is created by Amendment to the San Francisco Administrative Code, Section 3.24 (Codified 6/97).



- \* COIT is established as the policy making group for the City charged with formulating policy and defining the direction of IT in the City. It is designed to review major interdepartmental and citywide projects and to make policy recommendations.
- \* The COIT committee members include: the Mayor's Finance Director, a member of the Board of Supervisors, the Controller, the Director of DTIS, and a department head from: (a) Public Protection, (b) Public Works, Transportation and Commerce, (c) Human Welfare and Neighborhood Development, (d) Community Health, (e) Culture and Recreation, and (f) General Administration and Finance.
- \* The Strategic Management and Planning Group (SMPG) became responsible for the Annual IT Business Folio. It has the responsibility of reviewing IT projects over \$3 million and less than \$5 million. SMPG members are from the Board of Supervisors, Rent Arbitration, DPW Administrative Services, the Port, DTIS, Human Resources, Public Health, PUC and the Sheriff's Department.

### 1997

- The Telecommunications Commission is established by the Board of Supervisors. (March 1997) This was to be an advisory body to the Mayor, the Board and DTIS on telecommunication-related issues.

### 1999

- The Performance and Review Ordinance of 1999 is developed. **Starting in 2003**, it requires each department head to prepare and submit a departmental Efficiency Plan to the Mayor and the Board. (Codified 1/2000) Each plan is to cover a three-year period and include the following elements:
  - a customer service,
  - a strategic planning,
  - an annual performance,
  - a performance evaluation for the previous year.

### 2000

- A report is issued by the Office of the Legislative Analyst, "*Information Technology within San Francisco*." (June 2000) Highlights of this report are the following:
  - \* The City depends on a number of City agencies for IT services.
  - \* The total cost of IT in the City is not easy to determine, because each department obtains services through various channels.



- \* No citywide approach exists for tracking consulting costs incurred outside the Computer Store.
- \* San Francisco's current management structure is decentralized. Larger Enterprise Departments often built their own IT internal systems and staff. Smaller departments often lack funding resources and tended to fall behind in their technology despite DTIS support.
- \* Best practices in Phoenix and Philadelphia are recommended for review (These cities have "hybrid" IT structures—centralized and decentralized operations, CIO's, centralized management, departmental autonomy, and departmental IT plans tied to the budget process.)
- \* IT problems are acknowledged in the KPMG and in the Civil Grand Jury Reports.

The report recommends the City:

- \* Develop IT standards and policies for a vision for IT.
  - \* Centralize the budget process for funding technology on a citywide basis.
  - \* Encourage departmental sharing of technological advancements.
  - \* Increase the number of multi-departmental or citywide IT systems, reducing replication and redundancy among departments.
  - \* Amend the City's Administrative Code to require that all City departments obtain COIT approval for all IT purchases.
- Mayor Brown announces plans to centralize the management of IT resources and services.

## 2001

- A directive is issued by the Mayor to develop a comprehensive centralization plan. This responsibility is assigned to the Executive Director of DTIS. (January 2001)
- Public Technology, Inc. (PTI) completes the "*Enterprise IT Initiative Communications Plan*." It discusses perceived benefits, expected outcomes, anticipated barriers and concerns of IT Governance. Success measures and survey results are also included. (September, 2001)
- PTI issues the "*SWAT, Enterprise IT Report*." (December 2001) It evaluates the central IT organization, the CIO mission, and IT roles and responsibilities. Key recommendations are:
  - \* Appoint a full-time and empowered Chief Information Officer (CIO).
  - \* Restore central IT credibility with delivery on short-term projects, improved financial management and a Customer Communications Plan.
  - \* Codify department and enterprise roles.
  - \* Align assets to enhance department and enterprise capabilities.
  - \* Modify procedures for enterprise IT project evaluation.
  - \* Establish Project Management standards.

## 2002

- PTI issues the “*Enterprise IT Initiative Action Plan.*”(January 2002) This plan expands the updated high-level Enterprise IT Consolidation Plan and is the roadmap for establishing the City’s enterprise IT capability.
- The Telecommunications Plan is adopted by the Board. The Plan proposes City policies and procedures to guide the establishment of technologies within the City.
- The Executive Director of DTIS issues “*An Enterprise Approach to IT: A Proposal to Centralize Information Technology Management & Resources.*” (February 2002) This is a comprehensive report that details an IT Strategic Plan. The background information that follows repeats the “same old story:”
  - \* Despite the adoption of the 1996 IT Strategic Plan and the creation of DTIS, COIT and SMPG, delivery of services have remain fairly decentralized.
  - \* Decentralization issues remain including three different City e-mail systems, multiple websites, disparate networks, and competing IT priorities.
  - \* DTIS struggles to achieve its original purpose. It has *not* evolved into the City’s “one stop shop” for technology.
  - \* The lack of enabling legislation and flaws in organizational structure allow departments to do “their own thing.”
  - \* Few of the 1996 Plan’s vision statements and strategies are achieved and/or followed.
- Executive Director of DTIS resigns. (March 2002) The plan loses momentum and is not implemented.

## 2003

- Candidate Gavin Newsom’s campaign highlighted new technology programs that include SFStat, 311, JUSTIS and Compstat.

## 2005

- A new General Services Agency (GSA) is created, headed by a new Chief Administrative Officer (CAO) who reports directly to the Mayor.
- The annual DTIS Efficiency Plan identifies IT cost-saving strategies and identifies a strategic plan. (October 2005)

- The Board of Supervisors' Budget and Finance Committee begins hearings on IT Procurement and Maintenance. (November and December 2005) Some of the same issues are once again up for discussion:
  - \* No IT strategic planning, continuing expensive practices, incompatible systems and the purchase of incompatible software.
  - \* Many long-term outside IT contracts are without development of in-house IT services.
  - \* A need to spend City funds wisely and maximize every dollar spent so as to fund other City services.

## 2006

- The Executive Director of DTIS convenes a meeting with COIT. (March 2006) A presentation is given, entitled "*Ten Years after the 1996 IT Plan: Considerations & Recommendations.*" A citywide IT strategy is advocated. COIT votes approval to move the vision forward and requests the DTIS Director to return in thirty days with details of the plan.





# MCCP Salary Plan Fiscal Year 2005-2006

|                          |          | Range A   |            | Range B    |            | Range C    |            |
|--------------------------|----------|-----------|------------|------------|------------|------------|------------|
| 0961 Department Head II  |          |           |            |            |            |            |            |
| 7/1/2005                 | Hourly   | \$40.7250 | \$54.5750  | \$54.5875  | \$58.7375  | \$58.7500  | \$63.1825  |
|                          | Biweekly | \$3,258   | \$4,366    | \$4,367    | \$4,699    | \$4,700    | \$5,053    |
|                          | Annual   | \$84,708  | \$113,616  | \$113,642  | \$122,174  | \$122,200  | \$131,378  |
| 11/5/2005                | Hourly   | \$41.5375 | \$55.6825  | \$55.6750  | \$59.9125  | \$59.9250  | \$64.4250  |
|                          | Biweekly | \$3,323   | \$4,453    | \$4,454    | \$4,793    | \$4,794    | \$5,154    |
|                          | Annual   | \$86,308  | \$116,778  | \$116,804  | \$124,818  | \$124,844  | \$134,004  |
| 5/6/2006                 | Hourly   | \$42.3825 | \$56.7750  | \$56.7875  | \$61.1125  | \$61.1250  | \$65.7125  |
|                          | Biweekly | \$3,389   | \$4,542    | \$4,543    | \$4,889    | \$4,890    | \$5,257    |
|                          | Annual   | \$88,114  | \$118,092  | \$118,118  | \$127,114  | \$127,140  | \$136,682  |
| 0962 Department Head II  |          |           |            |            |            |            |            |
| 7/1/2005                 | Hourly   | \$50.8500 | \$67.4875  | \$67.5000  | \$72.5750  | \$72.5875  | \$78.1375  |
|                          | Biweekly | \$4,028   | \$5,398    | \$5,400    | \$5,806    | \$5,807    | \$6,261    |
|                          | Annual   | \$104,728 | \$140,374  | \$140,400  | \$150,956  | \$150,982  | \$162,528  |
| 11/5/2005                | Hourly   | \$51.3825 | \$68.8375  | \$68.8500  | \$74.0250  | \$74.0375  | \$79.7000  |
|                          | Biweekly | \$4,109   | \$5,507    | \$5,508    | \$5,922    | \$5,923    | \$6,376    |
|                          | Annual   | \$106,834 | \$143,182  | \$143,208  | \$153,972  | \$153,998  | \$165,778  |
| 5/6/2006                 | Hourly   | \$52.3875 | \$70.2125  | \$70.2250  | \$75.5000  | \$75.5125  | \$81.3000  |
|                          | Biweekly | \$4,191   | \$5,617    | \$5,618    | \$6,040    | \$6,041    | \$6,504    |
|                          | Annual   | \$108,086 | \$148,042  | \$148,068  | \$157,040  | \$157,066  | \$169,104  |
| 0963 Department Head III |          |           |            |            |            |            |            |
| 7/1/2005                 | Hourly   | \$58.6250 | \$71.8750  | \$71.8875  | \$77.3825  | \$77.3750  | \$83.2125  |
|                          | Biweekly | \$4,290   | \$5,750    | \$5,751    | \$6,180    | \$6,180    | \$6,657    |
|                          | Annual   | \$111,540 | \$149,500  | \$149,528  | \$160,914  | \$160,940  | \$173,082  |
| 11/5/2005                | Hourly   | \$54.7000 | \$73.9125  | \$73.9250  | \$78.9125  | \$78.9250  | \$84.8750  |
|                          | Biweekly | \$4,376   | \$5,885    | \$5,886    | \$6,313    | \$6,314    | \$6,790    |
|                          | Annual   | \$113,776 | \$162,490  | \$162,518  | \$164,138  | \$164,164  | \$178,540  |
| 5/6/2006                 | Hourly   | \$55.8000 | \$74.7750  | \$74.7875  | \$80.4875  | \$80.5000  | \$86.5750  |
|                          | Biweekly | \$4,464   | \$5,982    | \$5,983    | \$6,430    | \$6,440    | \$6,926    |
|                          | Annual   | \$118,084 | \$165,532  | \$165,558  | \$187,414  | \$187,440  | \$199,076  |
| 0964 Department Head IV  |          |           |            |            |            |            |            |
| 7/1/2005                 | Hourly   | \$61.5500 | \$82.4525  | \$82.4750  | \$98.7000  | \$98.7125  | \$105.4750 |
|                          | Biweekly | \$4,924   | \$6,597    | \$6,598    | \$7,906    | \$7,907    | \$8,438    |
|                          | Annual   | \$128,024 | \$171,522  | \$171,548  | \$184,498  | \$184,522  | \$198,588  |
| 11/5/2005                | Hourly   | \$62.7750 | \$84.1125  | \$84.1250  | \$99.4750  | \$99.4875  | \$107.3875 |
|                          | Biweekly | \$5,022   | \$6,729    | \$6,730    | \$7,928    | \$7,929    | \$8,471    |
|                          | Annual   | \$130,572 | \$174,054  | \$174,080  | \$186,185  | \$186,214  | \$202,566  |
| 5/6/2006                 | Hourly   | \$64.0250 | \$85.8000  | \$85.8125  | \$99.2875  | \$99.3000  | \$106.3375 |
|                          | Biweekly | \$5,122   | \$6,864    | \$6,865    | \$7,983    | \$7,984    | \$8,477    |
|                          | Annual   | \$133,172 | \$178,484  | \$178,480  | \$191,958  | \$191,984  | \$206,822  |
| 0965 Department Head V   |          |           |            |            |            |            |            |
| 7/1/2005                 | Hourly   | \$78.8250 | \$102.8750 | \$102.8875 | \$118.5125 | \$118.5250 | \$126.8500 |
|                          | Biweekly | \$6,130   | \$8,214    | \$8,215    | \$9,441    | \$9,442    | \$9,908    |
|                          | Annual   | \$159,380 | \$213,584  | \$213,590  | \$229,868  | \$229,892  | \$247,208  |
| 11/5/2005                | Hourly   | \$78.1625 | \$104.7250 | \$104.7375 | \$112.7250 | \$112.7375 | \$121.2250 |
|                          | Biweekly | \$6,253   | \$8,378    | \$8,379    | \$9,018    | \$9,019    | \$9,608    |
|                          | Annual   | \$162,578 | \$217,828  | \$217,854  | \$234,468  | \$234,494  | \$252,148  |
| 6/6/2006                 | Hourly   | \$79.7250 | \$106.8250 | \$106.8375 | \$114.9750 | \$114.9875 | \$123.6500 |
|                          | Biweekly | \$6,378   | \$8,546    | \$8,547    | \$9,198    | \$9,199    | \$9,892    |
|                          | Annual   | \$165,828 | \$222,106  | \$222,222  | \$239,148  | \$239,174  | \$257,192  |

0961 This class level has the responsibility for the direction of the smallest-sized City Department (guide: less than 60 employees).

0962 This class level has the responsibility for the direction of a small-sized City Department (guide: 60-175 employees).

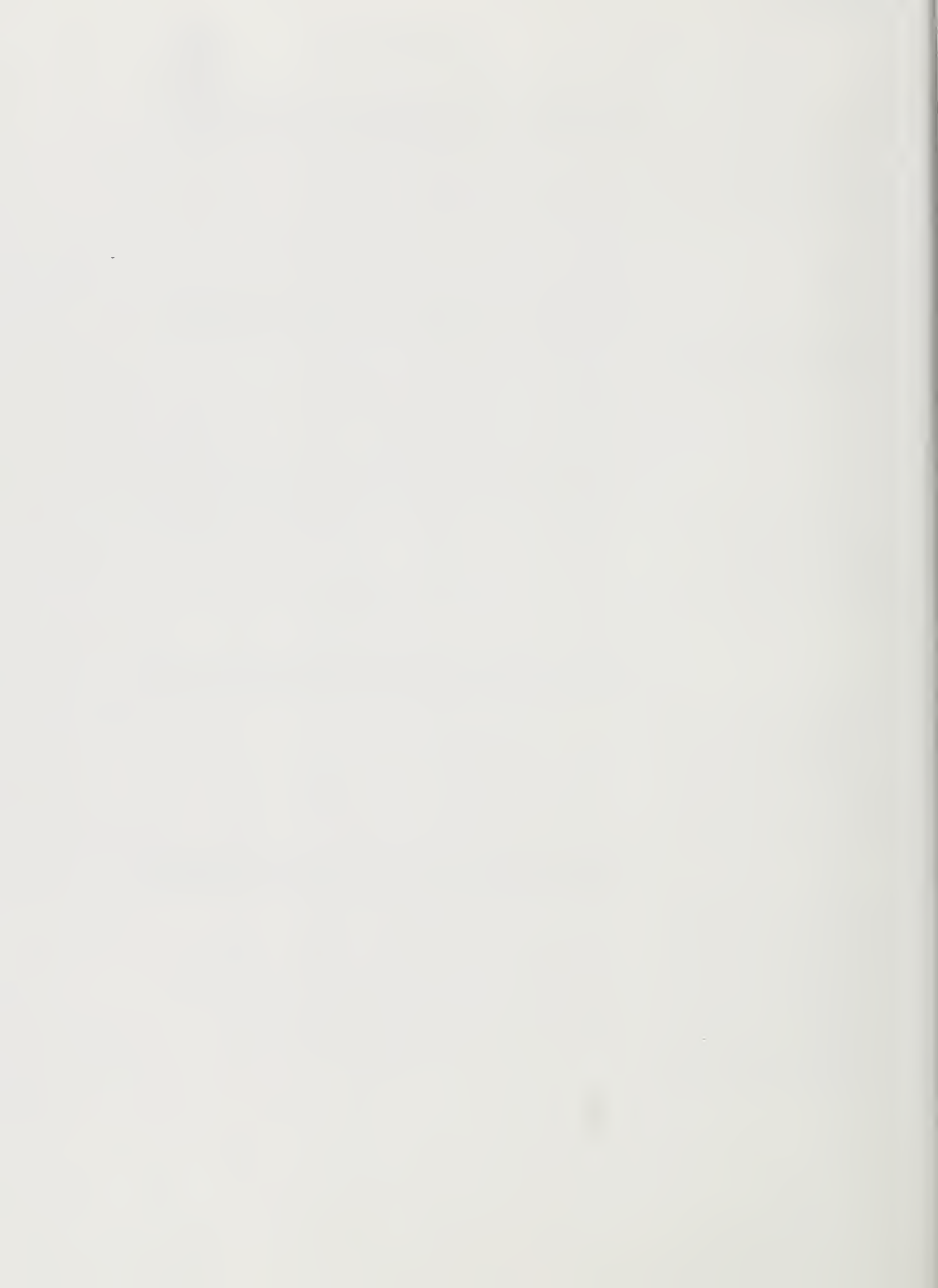
0963 This class level has the responsibility for the direction of a medium-sized City Department (guide: 175-800 employees) or for the direction of a central Department with functions impacting employees in all departments and special districts.

0964 This class level has responsibility for the direction of a large City Department (guide: 800-2000 employees), or for the direction of a central Department whose functions include providing direct public services and having a high impact on employees in all departments and special districts.

0965 This class level has the responsibility for the direction of one of the largest City Departments (guide: over 2000 employees) with broad and complex service structures, including multiple and diverse divisions or bureaus or for the direction of a central Department whose functions involve direct public services and having the highest impact on employees in all departments and special districts.







2005-2006 Civil Grand Jury  
City and County of San Francisco

**OFFICE OF THE ASSESSOR-RECORDER:**  
**REDUCING THE 4-YEAR BACKLOG**

Report Released: June 2006

## Purpose of the Civil Grand Jury

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco, to develop constructive recommendations for improving the operations of the City and County of San Francisco, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which officers, departments and agencies it will investigate during its one year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee researches in depth the departments or areas which are being investigated, by visiting government facilities, meeting with public officials and employees, and reading appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at: [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680), or by contacting Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## State Law Requirement

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or identifying information about individuals who provided information to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. As to each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, Sections 933, 933.05.)



## Purpose of This Report

The purpose of this report is to help the Office of the Assessor-Recorder effect needed changes and improvements. This should result in improved efficiency in making appropriate and timely appraisals of real property and issuing property tax assessments to avert further loss of city revenue.

### I. Summary

The Office of the Assessor-Recorder (OAR) is responsible for appraisals, assessments, and reassessments on all taxable property within the City and County of San Francisco (city). The OAR's extensive backlogs for assessing new construction have been reported by the press in recent years.<sup>1</sup> The OAR's failure to make some reassessments within the four-year statute of limitations results in a permanent loss of tax revenue to the city for those years. There are ten top counties in California measured by total assessed valuation; from the point of view of the state Board of Equalization (BOE), the OAR ranks last.

The Civil Grand Jury's investigation found that the OAR can improve processes and procedures to more accurately and timely appraise and issue assessments for new construction and for properties which have been sold. The Civil Grand Jury did not investigate, and this report does not concern, the assessment of personal property.

Recommendations in this report include improving the transfer of data about construction projects and building permits from the Department of Building Inspection to the OAR. The OAR needs to establish written procedures and processes, update job descriptions, comply with state-mandated appraisal methods, standardize record keeping, establish standard office procedures for appraising and assessing new construction, improve its preparation and presentation of appeals before the Assessment Appeals Board, and, once the foregoing is accomplished, determine the optimal size of staff.

Additionally, recommendations include: obtaining a user's manual for the EZ Access computer system, training appraisers in its use, cross-training personnel to be better able to address work surges in different parts of the office, actively participating in the California Assessors' Association, and giving prompt attention to, and complying with, regulations and recommendations from the state BOE.

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<sup>1</sup> David Dietz, "Assessor's Office Falters," *San Francisco Chronicle*, May 30, 1995; David Dietz, "Assessor Shortchanging City, Critics Say. Under Valuations Cost Millions," *San Francisco Chronicle*, May 6, 1998; Rachel Gordon, "Lax Tax Billing Costing S.F. Millions a Year," *San Francisco Chronicle*, page A21, November 20, 2001; Todd Wallack, "S.F. Gives Treasurer Unintended Tax Break on House Expansion. Property Among Thousands In City Assessor's Backlog," *San Francisco Chronicle*, October 1, 2005; Ilene Lechuk, "Incumbent San Francisco Assessor Ting Wins After Tough Race," *San Francisco Chronicle*, November 9, 2005.

## II. Introduction

In the past three years there have been three assessor-recorders; this turnover has been caused by elections and resignations. The current assessor-recorder was appointed to the position in July 2005 and then elected to the office in November 2005 for a four-year term. The findings in this report result from conditions existing at the time he took office.

Lengthy backlogs, especially in reassessing new construction, have been a matter of public knowledge in recent years and have resulted in loss of revenue. When property is reassessed within four years after completion of construction or change of ownership, the lost revenue can be recovered, but without interest. After four years a state statute of limitations comes into play, and revenues are permanently lost. Although the full extent of the loss is unknown, the loss is conservatively estimated by the assessor-recorder at \$2,000,000 per year<sup>2</sup> due to backlogs and other significant problems the assessor-recorder inherited. This loss, which may be greater than estimated, is an on-going cost until the backlogs are eliminated. The OAR needs to take action to turn things around.

The number of parcels awaiting processing was approximately 26,600 as of March 16, 2006. Since there are only approximately 190,000 parcels of property in San Francisco, this backlog represents 14% of all property in the city. This significant appraisal backlog is unusual for a county of San Francisco's total assessed value. The backlog has caused some new assessments not occurring within the four-year time limit mandated by state law,<sup>3</sup> resulting in lost revenue to the City and County of San Francisco.

Historically, the OAR has not published an annual report of its activities to the public. However, the OAR has recently completed its *2005 Annual Report* and fully intends to publish an annual report each year.

In this report, the Civil Grand Jury identifies several areas where improvements can be made to the OAR's procedures, personnel, systems, and methodologies to make the OAR better organized and more efficient, especially with regard to one of the three "Major Service Areas" of the OAR, the *Real Property Division*, and two of the "Support Areas," *Assessment Standards and Quality Control*, and *Information Systems*. These "areas" are more fully explained on the two tables of "Responsibilities" in Appendix B attached to this report. Improvements recommended by the Civil Grand Jury are divided into six topics and listed in Section V, Findings and Recommendations, as follows:

1. Most Critical Concerns: Assessment Backlogs and BOE Recommendations
2. Office Procedures
3. Information Technology
4. Staffing
5. Backlog of Appeals

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<sup>2</sup> Charlie Goodyear, "Ting Vows End to Assessment Backlog; Understaffed Office Needs Two Years to Catch Up," *San Francisco Chronicle*, page B5, March 16, 2006.

<sup>3</sup> State Revenue and Taxation Code, Section 532 (a).

## 6. Additional Concerns

### III. Procedure and Resources

The Civil Grand Jury's investigation consisted of confidential interviews, correspondence with the OAR and others, examination of documents, and review of Internet sites.

The Civil Grand Jury commenced its investigation in October 2005. We obtained records and conducted interviews with officers and employees from the following:

Office of the Assessor-Recorder, City and County of San Francisco  
Office of the City Attorney, City and County of San Francisco  
Office of the Treasurer and Tax Collector, City and County of San Francisco  
Department of Building Inspection, City and County of San Francisco  
Assessment Appeals Board, City and County of San Francisco  
Board of Equalization, State of California  
Office of the Assessor, County of Alameda

The Civil Grand Jury also obtained information from the following Web sites:

City and County of San Francisco - <http://www.ci.sf.ca.us/>  
Office of the Assessor-Recorder - [http://www.sfgov.org/site/assessor\\_index.asp](http://www.sfgov.org/site/assessor_index.asp)  
Board of Equalization, State of California - <http://www.boe.ca.gov/>  
California Assessors' Association - <http://www.calassessor.org/>  
County of Alameda - <http://www.acgov.org/assessor/>  
County of Santa Clara - <http://www.sccgov.org/portal/site/asr/>

Web site addresses were correct as of March 24, 2006.

### IV. Discussion

Almost without exception the people interviewed by the Civil Grand Jury commented about the backlogs of properties awaiting appraisal and assessment. Rather than aggressively fix the problem, the OAR's staff seems to be overwhelmed by the problem.

Tax rolls close on June 30 at the end of each fiscal year, and the assessor-recorder conservatively estimated that the city loses \$2,000,000 per year in uncollected revenue due to the assessment backlog. In March 2006 the number of parcels awaiting processing was approximately 26,600. This total includes approximately 6,800 properties with new construction, having an estimated value of \$1 billion; 3,800 properties with changes of ownership, having a current assessment roll value of approximately \$8.14 billion; and approximately 16,000 other properties, including personal property, which currently



require preparatory processing before an appraisal can be completed.<sup>4</sup> (For definitions of “new construction” and “personal property,” refer to the Glossary at the end of this report.)

The assessor-recorder’s goal to eliminate the backlog is to reduce it to twelve months, from three to four years or more. We recommend that it be further reduced to six months, except for appraisals under appeal. There are two reasons for this: 1) even if construction lasts a number of months or years, the OAR has had the same number of months or years to consider the appraisal and should therefore be able to arrive at an appraised value very soon after a Certificate of Occupancy is issued; and, 2) there is an advantage in having a shorter backlog of six months because it allows more “breathing room” if a surge in demand extends the backlog by, for example, three months. A surge in appraisal work is certainly more acceptable in extending the length of backlog from six to nine months, than it is from twelve to fifteen months.

Once every five years the BOE conducts a review of the top ten counties’ property tax assessment functions to determine whether properties are being assessed properly and to identify areas where improvements should be made. Issued as an “Assessment Practices Survey,” the report provides an overview of how well the duties of the assessor are performed and includes recommendations to correct assessment deficiencies and improve compliance with state law. In its 2002 report on San Francisco, the BOE identified numerous problems with the OAR and listed 56 specific recommendations, which are summarized in Appendix A to this report. Interviewees confirmed that many of the BOE’s recommendations still have not been addressed by the OAR, including the following four significant concerns.<sup>5</sup>

1. “The high vacancy rate for assessment positions has adversely affected the assessment of property. The already high number of unprocessed building permits has increased since the BOE surveyed in 1996. As a result, property in the city and county is being under assessed. Recommendation 1: To complete the Assessor’s statutory obligations, we recommend the assessor fill current assessment vacancies.” (Page 23.)

2. “We found a lack of standards and quality control in the OAR. As mentioned earlier, there is no policies or procedures manual. Staff within each unit determines their own arbitrary minimum value for assessing new construction. ... Recommendation 2: Task the assessment standards section with the responsibilities of standards and quality control. Recommendation 3: Develop a comprehensive policies and procedures manual.” (Page 25.)

3. “Many appraisal records ... are missing. Records could not be found for approximately 15 percent of the 327 properties we selected for sample. The records are stored on open shelves. There is no system in place to control access to these records; staff is free to pull records at any time without recording who has

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<sup>4</sup> All figures were confirmed by e-mail from the OAR to the Civil Grand Jury on May 15, 2006.

<sup>5</sup> State Board of Equalization, *Assessment Practices Survey of the City and County of San Francisco*, December 2002.



possession. Controlling appraisal records is one of the key responsibilities of the assessor because the appraisal records are the basis for all assessments.

Recommendation 5: Implement a system to control access to appraisal records.” (Page 27.)

4. “We found lengthy delays in processing building permits and enrolling value added due to new construction. ... The assessor's delay in the assessment of new construction beyond the four-year statute of limitations, per Section 532(a) of the Revenue & Taxation Code, has resulted in lost tax revenue for the city and county ... the city and county have irretrievably lost revenue from assessable new construction as indicated by over 500 permits. Recommendation 25: Eliminate the backlog of assessable new construction.” (Page 41.)

In fact, the BOE ranked San Francisco's OAR as the least efficient of the assessor-recorder offices in the ten largest counties, measured by total assessed valuation.<sup>6</sup>

Other problems that have plagued the OAR and resulted in low morale and poor staff productivity include:

1. **Unfilled Positions and Recruiting Process:** Many positions are vacant. The OAR has a budgeted staff of 140 employees, but as of May 19, 2006, there were only 112 employees. This is a vacancy rate of 20%; the December 2002 BOE report found that “The high vacancy rate for assessment positions has adversely affected the assessment of property.” Hiring a new appraiser under the current civil service system takes about six months. Candidates for jobs are lost due to the lengthy hiring process. In addition, there are few mid-level appraisers to replace senior appraisers as they retire.

2. **Standardized Filing and Appraisal Procedures:** Procedures for filing, retrieving, and securely storing records are not standardized. Procedures for conducting appraisals vary from desk to desk. As of the writing of this report, there are thirty-six real property appraisers, each of whom has his/her own approach and interpretation of appraisal methods for estimating property values, and own procedure for record keeping. As previously noted by the BOE, “There is no policies or procedures manual. Staff within each unit determines their own arbitrary minimum value for assessing new construction.” Within the past year the new assessor-recorder has created a Standards and Quality Control Group to begin development of standards for the OAR's operations. This group is making progress; the Civil Grand Jury received its draft Operations Manual (undated) for new construction assessment standards.

3. **Information Technology:** Computer systems are ineffectively used. The OAR uses the EZ Access computer system for record keeping, but lacks internal programming staff and has only one operator capable of running the

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<sup>6</sup> Civil Grand Jury interview with the BOE, November 28, 2005.

OAR's I.B.M. AS400 computer. Furthermore, there is no written user's manual within the OAR, most of the staff are not content with the system, and many think the system should be replaced.

4. **Handling of Appeals:** The amount of time consumed by the appeals process is excessive. The OAR represents the city before the Assessment Appeals Board, with some assistance from the city attorney's office, as well as private consultants, who have particular areas of expertise. Top flight, expert attorneys and private appraisers represent major property owners, and often the OAR's advocates are "out gunned." This unbalanced situation could certainly be greatly improved by better staff preparation of appraisals and appeals, by training, by a more consistent approach to valuation procedures, and by working diligently with property owners to settle appeals administratively.

From our interviews it soon became apparent to the Civil Grand Jury that an incessant "push-pull" struggle exists in two major areas of the OAR's workload. As we see it, the "push" is to keep on top of the daily appraising and assessing required in order to be within the four-year statute of limitations. The OAR has four years from completion of new construction or change of ownership reported to the city in which to appraise and reassess property for tax purposes. If the appraisal or reassessment is done within four years, then the new valuation applies from the date construction was completed or ownership changed, and the city's treasurer/tax collector bills the property taxes retroactively. If the property is not appraised and reassessed within four years from the date construction was completed or ownership transferred, the treasurer/tax collector may not bill and collect taxes on the property that are more than four years from the date the new construction or transfer is finally assessed.

On the other hand, the "pull" that is diverting scarce manpower resources from appraising, assessing and reassessing is the two-year statute of limitations for deciding appeals that property owners bring before the Assessment Appeals Board. The number of appeals will typically spike during a weakening local economy and/or a softening of commercial or residential real estate markets. If the OAR and property owner do not reach agreement during a disputed assessment, the property owner can then take his/her case before the Assessment Appeals Board, which according to statute must decide the appeal within two years. The property owner may agree to waive the two-year deadline, but is not obligated to do so, and many do not. Without a waiver, particularly in cases involving complex high-value properties, the OAR is under pressure to defend its assessed value before the Assessment Appeals Board prior to the two-year deadline. During the past fiscal year, 2004-2005, there were 1,683 appealed assessments that the OAR had to defend. Of this number, 1,198 or 71.18% were settled without a hearing.<sup>7</sup> If the two years pass without a settlement or decision, then the OAR must enroll the property owner's estimate of value stated on the appeals application.

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<sup>7</sup> Office of the Assessor-Recorder, *2005 Annual Report*, page 13, May 2006.

The OAR needs guidance and discipline, which have been lacking for well over a decade, and it needs accountability to correct longstanding problems that are costing the city millions of dollars in lost revenue annually. The Civil Grand Jury has confidence in the newly-elected assessor-recorder and his abilities. We hope this call to action will be heeded.

## **V. Findings and Recommendations**

The Civil Grand Jury submits to the people of the City and County of San Francisco and to the city's government the following findings and recommendations for the Office of the Assessor-Recorder.

### **1. Most Critical Concerns: Assessment Backlogs and BOE Recommendations**

#### *Findings:*

1-1a: In the words of an official of the BOE, the OAR has an unusually large backlog of properties with new construction needing appraisal and reassessment compared to other counties with similar total assessed valuation. As of March 2006, the number of parcels awaiting processing was approximately 26,600, including approximately 6,800 properties with new construction, having an estimated value of \$1 billion, and 3,800 properties with changes of ownership, having a current assessment roll value of approximately \$8.14 billion. The remaining approximately 16,000 properties require preparatory processing before appraisal. Some of these properties may be tax exempt since they are publicly-owned by the Redevelopment Agency or similar tax-exempt entities.

1-1b: The current assessor-recorder publicly stated in March 2006 that the backlog of properties needing appraisal and reassessment will be cleared within the next 24 months. This goal is dependent on hiring five new appraisers and two appraiser clerks. (See page 13 for findings and recommendations regarding staffing.)

1-1c: The OAR has set up a special team to process the backlog for new construction. The team consists of six of the OAR's seven principal appraisers who meet with a deputy assessor-recorder approximately every other day. These principal appraisers oversee the work of the senior and lower level appraisers.

#### **RECOMMENDATIONS:**

1-1a: Give highest priority to the effort to clear the backlog of appraisals and reassessments within the next 24 months, doing the highest value properties first.



1-1b: Measure and compare the productivity of the special appraisal team with the general productivity of the rest of the appraisal staff. Adopt for general use any changes that are shown to increase productivity and quality.

*Findings:*

1-2a: Change of ownership and sale price are recorded at the close of escrow or recording of a deed.

1-2b: The OAR takes from one to three years to reassess the property and issue a corrected tax bill. To be billed retroactively years after a transaction can cause hardship to the taxpayer. In addition, the city loses interest on the money and use of the money that should have been collected earlier.

*RECOMMENDATION:*

1-2: Make the process from recording a sale to the actual reassessment seamless and, for non-complex properties, complete it within days or weeks, not months or years.

*Findings:*

1-3a: The BOE reviews the OAR every five years for compliance with state law and reports its findings and recommendations.

1-3b: In 2004 the BOE conducted a very limited review of the OAR related to actions of the previous assessor-recorder. In late 2005 the BOE conducted a full-fledged scheduled review and anticipates publication of its new report in mid-2006.

1-3c: The OAR has not implemented numerous recommendations from the BOE's 2002 report, including several significant recommendations as previously cited in this report.

*RECOMMENDATIONS:*

1-3a: Promptly comply with the recommendations from the BOE.

1-3b: Upon completion of the implementation of the BOE's recommendations, the assessor-recorder should request the BOE to re-survey the OAR to insure compliance with its recommendations. Request this off-cycle survey as soon as possible, perhaps within the next 18 to 24 months, before the next five-year survey in 2010-2011.



## 2. Office Procedures

### *Findings:*

2-1a: The OAR does not have written procedures or processes for appraisers and other OAR staff to efficiently and effectively perform their job duties.

2-1b: Although the assessor-recorder has created a Standards and Quality Control Group within the OAR, headed by a senior staff employee, to develop uniform standards for day-to-day operations, and some standards have been drafted, no such manual currently exists.

### *RECOMMENDATIONS:*

2-1a: Establish a desk manual of responsibilities, procedures and processes for each job and/or task in the OAR. Develop this manual using best practices and office procedure manuals from well-regarded assessor's offices in other Bay Area counties, such as Contra Costa County, Santa Clara County and Alameda County, and using resources available from the California Assessors' Association and the BOE.

2-1b: Distribute the desk manuals to all employees and implement training of personnel in the standardized procedures and processes developed by the Standards and Quality Control Group.

### *Findings:*

2-2a: Each appraiser has his/her own approach and interpretation of appraisal methods for estimating property values, and own procedure for record keeping. The lack of standardized procedures and record keeping results in inconsistent assessment.

2-2b: The OAR lacks an adequate quality control program to ensure that appraisals and assessments are accurate, timely and consistent.

### *RECOMMENDATIONS:*

2-2a: Complete the previously discussed employee desk manuals and include standards for appraisal procedures, that comply with state law and BOE standards.

2-2b: Develop and implement a quality control program to ensure the OAR takes consistent positions with all taxpayers and before the Assessment Appeals Board.

2-2c: Develop and implement standards for record keeping.

### *Finding:*

2-3: There are no performance standards for appraisal positions.

*RECOMMENDATIONS:*

2-3a: The OAR's newly created Standards and Quality Control Group should develop performance standards to measure quality and productivity of individual appraisers.

2-3b: The assessor-recorder should implement an employee performance evaluation program based on the performance standards developed by the Standards and Quality Control Group.

*Finding:*

2-4: There are predictable seasonal surges and lulls in demand in various parts of the OAR. (For example, there is a surge in applications for exemptions, such as for senior citizens and owner-occupied property, during the two to four month period before October first of each year.)

*RECOMMENDATIONS:*

2-4a: Cross-train staff and rotate staff to meet predictable seasonal variations in demand.

2-4b: Job descriptions and labor agreements with the bargaining units representing the OAR's employees should provide for cross-training and seasonal rotation to meet peak demands.

*Findings:*

2-5a: Job descriptions of appraisers, auditors, and other staff are out of date.

2-5b: Civil service procedures for updating job descriptions are perceived by the OAR's managers as an unduly long process.

*RECOMMENDATION:*

2-5: Bring job descriptions up to date. The OAR management staff should update descriptions internally and present them to the Department of Human Resources for approval. Solicit job descriptions from other large counties to save time and help develop accurate job descriptions.

*Findings:*

2-6a: The Department of Building Inspection provides the OAR with information regarding new construction, such as building permit data, weekly.

2-6b: The OAR's appraisers should obtain a copy of the floor plan from the Department of Building Inspection to accomplish their work when new construction is involved. Currently, this floor plan must be specifically requested for each construction project.

*RECOMMENDATION:*

2-6: The Department of Building Inspection should provide a digitized or scanned copy of floor plans for new construction along with other permit data as part of its weekly computerized transmittal of data to the OAR.

*Finding:*

2-7: The Department of Building Inspection is currently evaluating proposals for new computer systems.

*RECOMMENDATION:*

2-7: The Department of Building Inspection should select a computer system that will transfer all needed data smoothly to the OAR in a timely manner. The Department of Building Inspection's computer system evaluation committee and the OAR's representative on the committee should ensure that selection criteria for a new computer system have the capability to handle such data transfer.

*Findings:*

2-8a: Cost estimates given on building permits are used by the Department of Building Inspection solely to establish permit fees. These estimates are then forwarded to the OAR.

2-8b: The OAR send a questionnaire to some, but not all, property owners asking for information about construction projects relevant to the appraisal of new construction. Some property owners simply repeat the value of the pre-construction estimates used to obtain permits from the Department of Building Inspection.

*RECOMMENDATIONS:*

2-8a: The OAR should always send a questionnaire to property owners, require the questionnaire to be signed under penalty of perjury, (to discourage the use of "low ball" pre-construction estimates from becoming part of the permanent record), and require the questionnaire to be returned within 30 days.

2-8b: The questionnaire should request a detailed description of the project and building materials, a line item cost breakdown for the project (including costs incurred for seismic upgrades, fire and life safety upgrades, handicapped access improvements and other exclusions from new construction under the Revenue and Taxation Code and BOE

regulations), how much space has been added, and other information relevant to the value of the new construction.

### 3. Information Technology

#### *Findings:*

3-1a: The OAR uses a packaged computer system, EZ Access, for record keeping. This system is used by other large California counties such as Los Angeles and San Mateo, with vendor modifications.

3-1b: The OAR lacks internal programming staff for EZ Access and only one person in the OAR is authorized and capable of running the EZ Access I.B.M. AS400 computer. There is no written user's manual available for the EZ Access system in the OAR.

3-1c: Although the EZ Access computer system has been installed for over five years, the OAR staff approaches the system with vague feelings of discontent.

#### *RECOMMENDATIONS:*

3-1a: Obtain a user's manual from the vendor of the system, Hamer Enterprises, McAllen, Texas.

3-1b: After receiving a user's manual, provide mandatory computer training for all personnel who use EZ Access. Cross-train staff so that they are functional in all relevant or critical aspects of the system and can be assigned to different tasks in the OAR as workload and priorities demand.

3-1c: After the staff is educated on the EZ Access system, an office-wide study should be conducted to determine what if anything about the system is causing staff discomfort and to solicit input on potential enhancements. Then, work with the vendor, Hamer Enterprises, to make appropriate changes.

#### *Finding:*

3-2: Consideration is being given to purchasing a new system to replace the EZ Access system. It was purchased from Easy Access, Inc., in 1996, and has cost the city \$5.7 million.<sup>8</sup>

#### *RECOMMENDATION:*

3-2: Do not buy a new system until the OAR determines the current system is unsatisfactory to meet the OAR's needs and cannot be modified.

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<sup>8</sup> Peter Byrne, "A Taxing Problem," *S.F. Weekly*, February 20, 2002.



*Finding:*

3-3: The computer systems of the separate recording functions of the OAR are not currently fully compatible with the EZ Access system, causing unnecessary work when properties change ownership and require reassessment.

*RECOMMENDATION:*

3-3: Obtain programming assistance to have relevant data entered in the recorder's system automatically updated in the OAR's EZ Access system.

#### **4. Staffing**

*Findings:*

4-1a: The OAR has 112 employees out of a budgeted staff of 140 employees, leaving 28 positions unfilled as of May 2006.

4-1b: The assessor-recorder has an immediate need to fill seven new positions as noted in Finding 1-1b on page 7.

*RECOMMENDATIONS:*

4-1a: Determine productivity and staffing level appropriate to provide timely service and keep appraisals and assessments up to date.

4-1b: Seek to employ personnel according to the determined need, which might be different than the 140 budgeted staff positions.

4-1c: As soon as possible, fill seven new positions required to reduce backlogs of properties needing appraisal and reassessment.

*Findings:*

4-2a: The OAR lacks qualified mid-level appraisers to replace the more senior appraisers as they retire.

4-2b: Hiring a new appraiser under the current civil service system takes about six months. Candidates for jobs are lost due to the lengthy hiring process. The mayor has expressed intent to reduce civil service hiring time to sixty days, and a new rule has been developed by the Department of Human Resources and approved by the Civil Service Commission, which will enable the city to administer examinations for permanent employment within approximately sixty days instead of six months. The city will be able to hire more quickly, allowing it to compete more effectively with other employers to obtain the most qualified applicants. This will result in fewer temporary and provisional hires,

ensuring a more stable and responsive workforce as well as a fairer and better regulated hiring process.

#### *RECOMMENDATIONS:*

4-2a: Hire experienced mid-level appraisers to move to upper level positions as senior staff retires.

4-2b: Under the new civil service rule, work to reduce the hiring time to 60 days or less.

### **5. Backlog of Appeals**

#### *Findings:*

5-1a: Resolution of valuation differences with taxpayers varies with appraisers. Some appraisers make an effort to resolve valuation differences with taxpayers and others refuse to negotiate, resulting in the unnecessary filing of appeals to the Assessment Appeals Board.

5-1b: Of the almost 1,700 assessment appeals closed in fiscal year 2004-2005, approximately 70% were resolved without a hearing.

#### *RECOMMENDATION:*

5-1: Office policy should be to always attempt to resolve taxpayer valuation disputes at the appraiser level. Forcing taxpayers to file appeals with the Assessment Appeals Board should be a "last resort."

#### *Findings:*

5-2a: For assessment appeals for commercial property, the OAR often lacks adequate documentation of how the appraiser arrived at capitalization rates, known as cap rates, used in the income approach for estimating value.

5-2b: The OAR would prevail more often if it had historical records of how it arrived at cap rates for each case that comes before the Assessment Appeals Board.

5-2c: The OAR lacks adequate quality control procedures and takes inconsistent positions in appeals.

#### *RECOMMENDATION:*

5-2: On appeals, the OAR should have adequate documentation to support its valuations. For each appeal, the OAR should maintain a historical record of cap rates and how they are determined, and use this database to establish office standards for all appeals.

*Finding:*

5-3: Except for trade secret information received in closed session, all information submitted to the Assessment Appeals Board is public information and, if relevant, can be used in any other matter brought before it. The OAR does not track or keep a record of this information for use on subsequent appeals.

*RECOMMENDATION:*

5-3:. Keep records of relevant public information and use where appropriate. Investigate modifications to the EZ Access system to store, coordinate and retrieve such background data.

*Findings:*

5-4a: The OAR has been frequently “out gunned” by appellants’ professional advisors in appeals of valuations exceeding \$100,000,000.

5-4b: The quality of presentations in such appeals can make a difference in the results obtained. The OAR has used “experts” who were not qualified and whose testimony was consequently given little or no weight by the Assessment Appeals Board.

5-4c: When the OAR seeks the assistance of legal counsel on appeals, it often does not do so far enough in advance of the hearing date for counsel to assist the OAR’s staff to adequately prepare the case for hearing.

*RECOMMENDATION:*

5-4: Assure that the OAR’s private consultants are fully qualified for the work they are to do and that they and city counsel have adequate time to prepare. Retain records of which consultants are most cost effective and productive for the city. Future hiring of these consultants will potentially save the city money and increase productivity.

*Finding:*

5-5: The OAR lacks an adequate number of qualified staff to prepare and defend appeals.

*RECOMMENDATION:*

5-5: Determine the number of qualified personnel needed to process appeals and hire sufficient staff for that task. When necessary, outsource to private appraisers and expert consultants.

*Findings:*

5-6a: The OAR does not conduct pre-hearing discovery, (for example: obtaining comparable sales information, lease revenue and operating cost information, and vacancy rate information), and, consequently, is not as well prepared as the opposition for many hearings before the Assessment Appeals Board. This further creates situations where cases can be ambushed at hearing with information the OAR appraiser did not anticipate.

5-6b: The OAR staff will, on occasion, arrive at appeal hearings without work papers and without adequate documentation to substantiate a valuation.

*RECOMMENDATIONS:*

5-6a: Have staff appearing before the Assessment Appeals Board take training on how to be an effective advocate and witness. Solicit advice from the city attorney and the California Assessors' Association regarding formal training programs.

5-6b: Conduct pre-hearing discovery except where the expense is not warranted by the valuation under appeal or extenuating legal reasons.

**6. Additional Concerns**

*Finding:*

6-1: The OAR has begun making use of the resources of the California Assessors' Association since the current assessor-recorder took office.

*RECOMMENDATION:*

6-1: The OAR should actively participate in the California Assessors' Association and use the resources and connections that participation affords.

*Finding:*

6-2: The OAR has not published an annual report to the public or Board of Supervisors in recent history, but has just published an annual report for 2005 and intends to continue to publish an annual report each year.

*RECOMMENDATION:*

6-2: Commencing with the *2005 Annual Report*, publish a report annually and include backlog data, including the number and location of parcels, value, and length of time in system. Make this report available on the city's Web site.



### *Findings:*

6-3a: Many of the OAR's employees are behind in Continuing Education Units required for state certification of appraisers. As of 2002, the state may take away certification from those who are not maintaining their continuing education.

6-3b: The BOE noted that approximately 40% of the OAR's appraisal staff will be deficient in training hours as of July 1, 2005.<sup>9</sup>

6-3c: Appraisers who receive an Advanced Certificate only need 12 hours of continuing education as opposed to the 24 hours of continuing education required for appraisers without an Advanced Certificate.

### *RECOMMENDATIONS:*

6-3a: Require each appraiser to bring his or her continuing education requirements up to date within the next 12 months.

6-3b: Do not permit appraisers to fall behind in fulfilling their state-mandated continuing education requirements.

6-3c: Include in job descriptions a requirement that appraisers keep their continuing education requirements current as a condition of employment.

## **VI. Response Requirements**

Responses to the recommendations in this report are required from the Board of Supervisors and city offices and departments in accordance with the following list and state law.<sup>10</sup> Responses are to be in writing and addressed to the Honorable Robert Dondero, Presiding Judge, Superior Court of California, City and County of San Francisco, San Francisco Civic Center Courthouse, 400 McAllister Street, San Francisco, California, 94102.

Board of Supervisors: 90 days.

Office of the Mayor: 60 days.

Office of the Assessor-Recorder: 60 days. Respond to all recommendations.

Department of Building Inspection: 60 days. Respond to recommendations 2-6 and 2-7.

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<sup>9</sup> State Board of Equalization, *Report of the Special Survey of the Office of the Assessor-Recorder, City and County of San Francisco*, page 8, March 2005.

<sup>10</sup> State Penal Code, Sections 933 (c) and (d).

## **VII. Glossary and Acronyms**

**Appraisal:** The estimated value of a property determined by an appraiser.

**Appraiser:** The public official who estimates the value of a property.

**Assessed Value:** The taxable value of property upon which the tax rate is applied.

**Assessor:** The public official responsible for appraising property for tax purposes.

**Assessment Appeals Board:** The board that hears arguments, reviews documentation, and sets assessed values for properties when property owners disagree with the value set by the OAR.

**Board of Equalization:** The board that administers the state's tax and fee programs, including sales and usage taxes, property taxes, and special taxes.

**Capitalization Rate:** "Cap" rate is a measure of risk to the building owner/investor; that is, how many years will it take to realize return on investment. The higher the cap rate, the lower the value.

**New Construction:** The construction of new buildings, additions to existing buildings, or alterations which convert the property to another use or extend the economic life of the improvement, is reassessed, establishing a new base year value for only that portion of the property.

**Personal Property:** Any property except real estate, including airplanes, boats, and business property such as computers, supplies, furniture, machinery and equipment. (Most business inventory, household furnishings, personal effects, and pets are exempt from taxation.)

**BOE:** Board of Equalization, State of California.

**OAR:** Office of the Assessor-Recorder, City and County of San Francisco.

## **VIII. Appendices**

**Appendix A:** For the general information of the reader, attached to this report is the Executive Summary of Recommendations from the Board of Equalization, in its report, *Assessment Practices Survey of the City and County of San Francisco*, December 2002.

**Appendix B:** Two "Responsibility" charts for the Office of the Assessor-Recorder are also attached to this report. These charts are from the OAR's *2005 Annual Report*, pages 18 and 19, May 2006. The charts give the reader a general concept of the size and complexity of the OAR.

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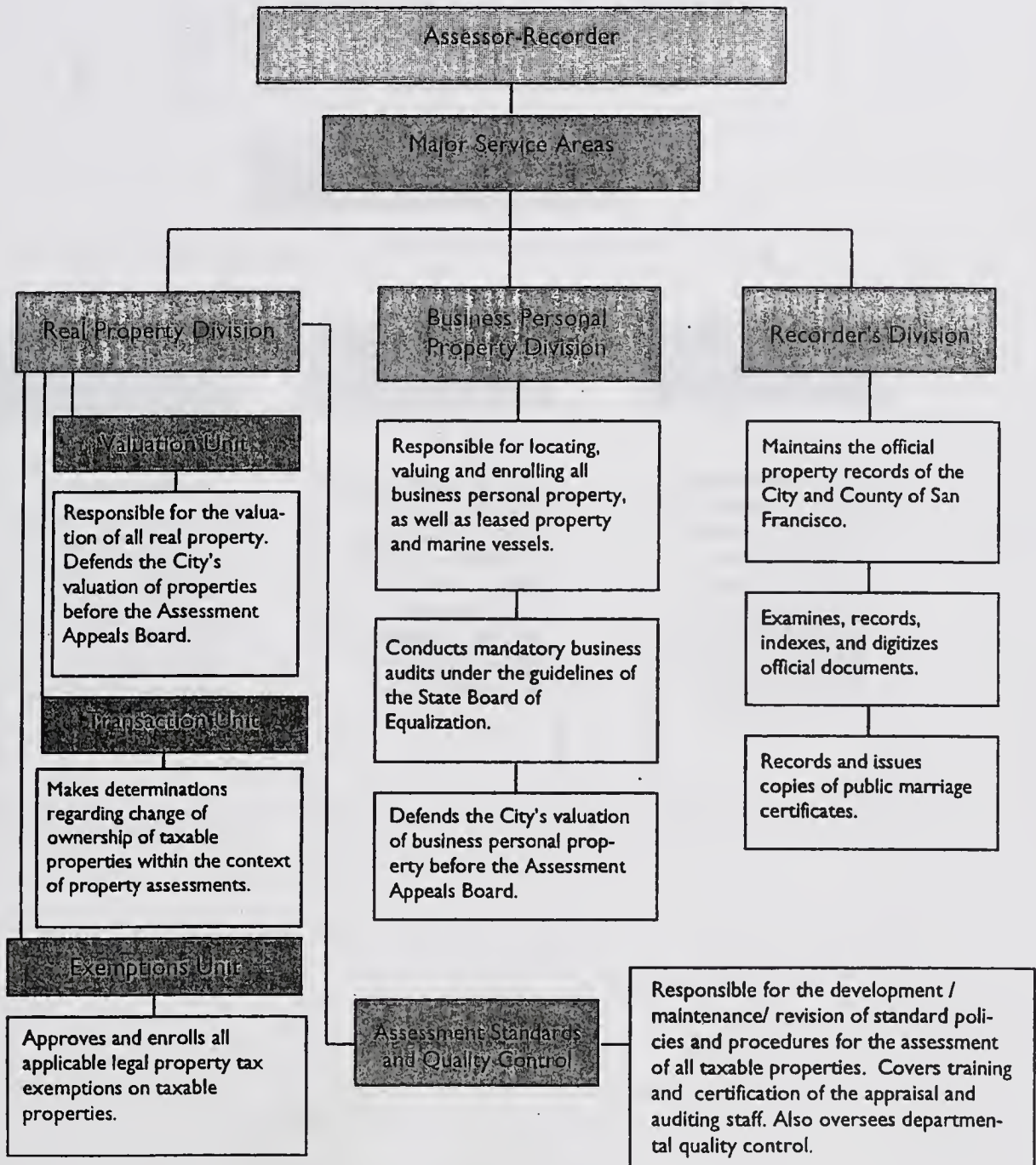


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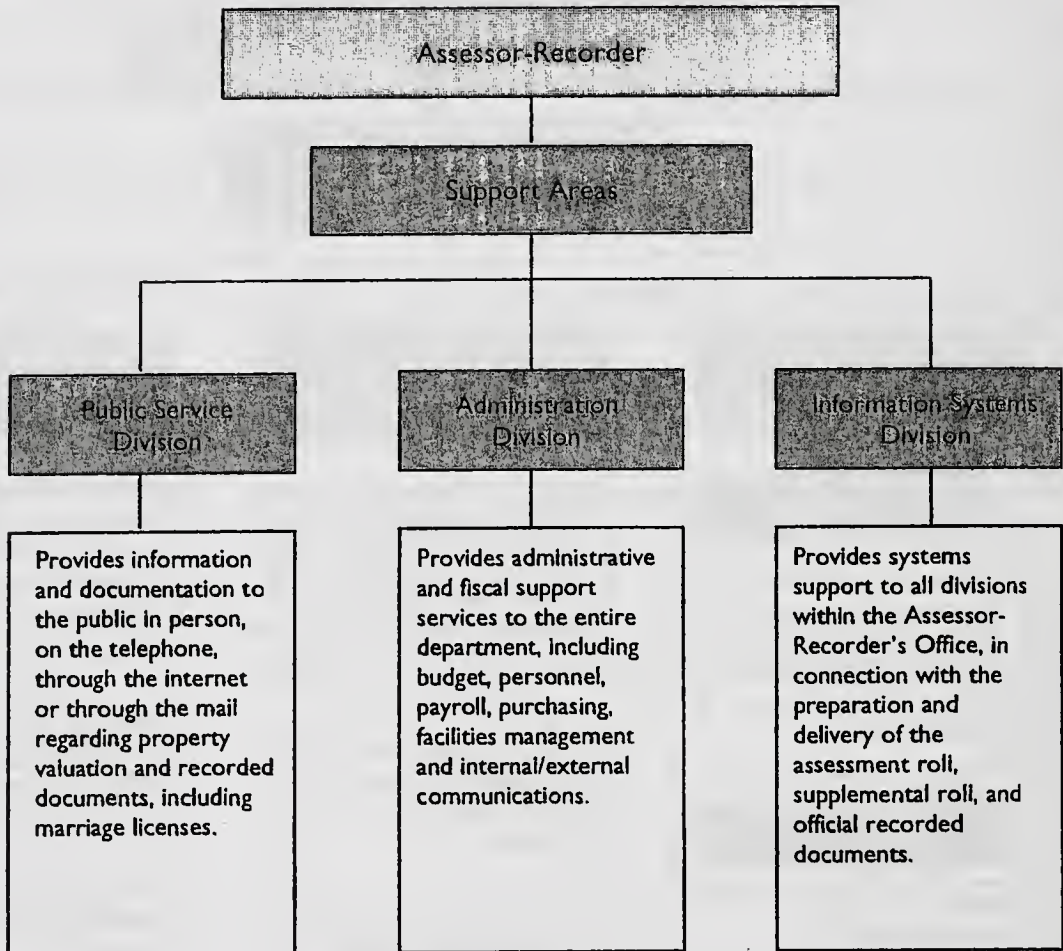
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## Responsibilities



OFFICE OF THE ASSESSOR-RECORDER  
CITY & COUNTY OF SAN FRANCISCO









2005-2006 Civil Grand Jury  
City and County of San Francisco

**IDENTITY THEFT:**  
**HOW WELL IS THE CITY AND COUNTY COPING?**

Released: May 2006

## Purpose of the Civil Grand Jury

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco – to develop constructive recommendations for improving the operations of the City and County of San Francisco, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which officers, departments and agencies it will investigate during its one year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee researches in depth the departments or areas which are being investigated, by visiting government facilities, meeting with public officials, and reading appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at: [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680), or by contacting Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## State Law Requirement

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or identifying information about individuals who provided information to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. As to each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, secs. 933, 933.05).



## **Purpose of This Report**

The intent of this report is to provide information to City departments and agencies, and more importantly, to San Francisco residents about how the City and County of San Francisco is coping with the problem of identity theft. It includes related findings and recommendations.

### **I. Summary**

Identity theft costs more than \$50 billion in the United States each year. California has the third highest rate of identity theft in the nation. The Federal Trade Commission, the national watchdog on identity theft, counted over 43,000 California victims in 2004 and over 1,100 within San Francisco.<sup>1</sup>

The City and County of San Francisco (City) collects citizens' data that can lead to identity theft: social security numbers, credit card numbers, bank account information, driver's license numbers, dates of birth, home addresses, phone numbers, and e-mail addresses. Identity theft occurs when personal information is stolen so criminals can impersonate the victim to obtain credit and/or drain money from the victim's financial accounts.

How well is the City and County of San Francisco coping with the identity theft problem?

### **II. Introduction**

Identity theft made big news in 2005. Some of the institutions adversely affected in 2005 were Bank of America, ChoicePoint, Westlaw, LexisNexis, T. J. Maxx, University of California at Berkeley, CitiFinancial Mortgage, Motorola, Time Warner, General Motors, Ameritrade, and the Colorado State Health Department. How well did the City and County of San Francisco do? Is the City taking proper care of this personal information? Is the personal data collected necessary, and is the City properly safeguarding the information once collected?<sup>2</sup>

### **III. Methodology**

The Civil Grand Jury investigated identity theft in the City and County of San Francisco. Although the theft of personal information needed to steal a person's identity can occur in a variety of ways including pick-pocketing, mail theft, false change of address notices, and/or trash rummaging, the Civil Grand Jury confined its investigation to credit card theft involving computers.

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<sup>1</sup> <http://www.consumer.gov/idtheft/pdf/CY2004/California%20CY2004.pdf> Site address verified 12.31.2005.

<sup>2</sup> [http://www.idtheftcenter.org/datadisclosure\\_2005.pdf](http://www.idtheftcenter.org/datadisclosure_2005.pdf) Site address verified 12.31.2005.

#### IV. Resources

The Civil Grand Jury conducted interviews from October 28, 2005 through December 22, 2005 with a variety of City departments: Department of Telecommunications & Information Technology, Department of Public Health, Office of the Controller (Payroll Department), San Francisco Police Department (Fraud Division), Office of the City Treasurer & Tax Collector, Municipal Transportation Agency, and Department of Parking & Traffic.

The Civil Grand Jury also obtained primary source material from the Internet and *New York Times*: (Note: Web site addresses verified December 31, 2005.)

1. <http://www.idtheftcenter.org/busrisktest.shtml> Identity Theft Resource Center.
2. <http://cmcWeb.ca/epic/internet/incmc-cmc.nsf/en/fe00095e.html> Business Identity Theft Checklist.
3. <http://www.consumer.gov/idtheft/> Federal Trade Commission Identity Theft site.
4. <http://www.msnbc.msn.com/id/8359692/site/newsweek/> "Grand Theft Identity", *Newsweek*, July 4, 2005.
5. <http://www.hipaadvisory.com/regs/securityoverview.htm> HIPAA Security Rules Overview. (Health Insurance Portability & Accountability Act of 1996 (August 21), Public Law 104-191, which amended the Internal Revenue Service Code of 1986. Also known as the Kennedy-Kassebaum Act)
6. <http://www.idtheftcenter.org/aftermath2004.pdf> Identity Theft: The Aftermath 2004.
7. "Identity Crises", *New York Times*, October 1, 2005, Western edition.

#### V. Conclusions: Findings & Recommendations

**Finding #1 - Department of Public Health:** San Francisco General Hospital is the Department of Public Health's largest cash operation. Cash and credit card operations are handled directly with the Bank of America. The Department of Public Health runs its own information technology operation with applications including patient registration, accounting, lifetime clinical services, laboratory work, and on-line eligibility. To facilitate billing with Medicare and Medi-Cal, it is necessary to keep patient social security numbers on file. Although the Department of Public Health has about 5,000 computer workstations at over 400 separate sites, no credit card data is kept on Department's computer files.

There is no clause protecting the confidentiality of data in the Department of Public Health's contract with Bank of America.

**Finding #2 - Office of the Treasurer & Tax Collector:** In 2004-2005 the treasurer took in over \$2.3 billion in tax revenue. Of this total, \$19 million was collected by processing 11,200 transactions over the World Wide Web. The treasurer contracted with VeriSign, a NASDAQ-listed corporation that processes over 14 billion Internet transactions daily<sup>3</sup>, to handle their Web-related credit card operations. Another \$8 million was collected by processing 2,700 transactions through Interactive Voice Response (IVR), an enhanced automated phone service for processing payments made with credit cards.

The City treasurer contracted with Official Payments Corporation for these IVR transactions. Official Payments Corporation has been processing government payments electronically since 1996. Official Payments Corporation also does processing for the United States Internal Revenue Service, 25 states, and more than 1,600 counties and municipalities. No credit card data for Web or IVR transactions are kept on City computer files. A clause protecting confidentiality of data is present in the Treasurer's contract with Official Payments Corporation. (Note: Mail and walk-in credit card numbers are kept on the Treasurer's cashiering system, and are available only to the vault teller on an audit report. This on-request audit report is produced only when there are cash balancing problems.)

**Finding #3 – Department of Parking & Traffic:** The Department of Parking & Traffic contracts out daily management responsibilities for City-owned parking garages to various parking firms. All credit card transactions with parking garages are handled by the parking firms. Once again, no credit card data or social security numbers are kept on City computer files.

**Finding #4 - Parking Citations Division:** The Municipal Transportation Agency's Citations Division receives approximately \$14 million yearly from some 250,000 Web transactions. As with the Office of the Treasurer & Tax Collector, VeriSign handles its Web transactions. Approximately \$4 million is collected annually through some 78,000 phone transactions. Again, Official Payments Corporation handles phone payment transactions. The Citations Division does not retain any credit card or social security numbers on their files.

**Finding #5 - Payroll:** The Controller's Office has processed City's payroll since 1985 on a heavily modified package application processor that is run on the City's mainframe computer system. Although the payroll system must retain social security numbers for tax reporting purposes and bank account numbers for direct deposits, computer access is limited exclusively to payroll and programming staff. Similar to credit card transactions in shops and restaurants, only the last four digits of social security numbers are printed on checks. No credit card data is kept on the payroll system.

**Finding #6 - Police Department:** Although our investigation of departments which process major credit card transactions revealed no evidence of City-caused identity theft, we conducted a final interview with the San Francisco Police Department's Fraud Detail to verify our findings. Through early December 2005, police statistics reflect 1,300 instances of all types of identity theft in San Francisco. The police have no records involving identity theft within City government. Statistics are not kept by location of theft because most victims of identity theft do

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<sup>3</sup> <http://www.verisign.com/verisign-inc/index.html>



not know where or how their personal information was stolen.

**Finding #7 - Conclusion:** The Civil Grand Jury asked all departments listed above and the Department of Telecommunications & Information Services the direct question, "Are you aware of any instances of identity theft caused by the City and County of San Francisco?" All replied negatively to this question.

**Recommendation #1:** San Francisco's widely distributed information technology departments have wisely chosen to contract out credit card processing (and the identity theft risks inherent in this activity) to nationally recognized firms specializing in Web-based remittance processing. The Civil Grand Jury recommends the departments continue this policy.

**Recommendation #2:** In answer to the question posed by the title of this report, the City and County of San Francisco is thus far coping well with identity theft. The Civil Grand Jury recommends that the City continues to handle sensitive data with the care that is currently in practice.

**Recommendation #3:** A clause protecting confidentiality of the City's data should be included in the Department of Public Health's contract with Bank of America.

## **VI. Required Responses**

Department of Public Health – 60 days

Office of the Mayor – 60 days

Board of Supervisors – 90 days







2005-2006 Civil Grand Jury

City and County of San Francisco

**AFFORDABLE HOUSING BOND PROGRAM:  
THE DOWNPAYMENT ASSISTANCE LOAN PROGRAM**

Report Released: June 2006

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## **Purpose of This Report**

To evaluate the efficiency and fairness of the Down Payment Assistance Loan Program authorized by Proposition A during the Elections of November 1996 and to discuss the benefits of homeownership to the community. Additionally the Civil Grand Jury sees a need for more funding to augment the number of homebuyers.

### **I. Summary**

In January 2006, the Civil Grand Jury (CGJ) began an investigation into the current status of the City and County of San Francisco's Down Payment Assistance Loan Program (DALP). Several issues surfaced, among them:

1. The current maximum sales price limits are based on 2004 real estate prices and are unrealistic in the present real estate market.
2. When the program was established in 1996, section 43.3.7 of the Administrative Code of the City required the Mayor's Office of Housing (MOH) to file an annual report with the Board of Supervisors on the status of the Affordable Housing and Homeownership Program. The CGJ has been unable to determine whether any report was filed after 2002.

The Civil Grand Jury of 2005/2006 offers the following suggestions:

- Raise the maximum sales price for properties.
- Establish a waiting list when funds have been depleted.
- Initiate a ballot proposition that provides additional funding for the DALP
- Ensure that the Mayor's Office of Housing files the required annual reports.

### **II. Introduction**

In November of 1996 the voters of the City and County of San Francisco (the City) approved Proposition A, the Affordable Housing and Homeownership Bond Program, a \$100 million general obligation bond to expand affordable housing opportunities for low- and moderate-income residents. \$85 million of the bond proceeds were to be spent for acquisition, rehabilitation and construction of rental units for households with annual incomes of no more than 60% of the San Francisco metropolitan area-wide median (\$62,000 in 1996). The remaining \$15 million was to be invested in down payment assistance loans for first-time homebuyers with annual incomes at or below the area-wide median.

The Board of Supervisors ordinance (449-97) that established program guidelines requires that the bond proceeds be deposited in two accounts: the Development Account for the rental housing component of the program and the Down Payment Assistance Loan Program Account for

the homeownership component. This latter program is the only focus of the CGJ's investigation. It works as follows:

The City makes interest free down payment assistance loans, which are to be repaid into the City's DALP fund when the homeowner sells. At such time, the City receives back not only the original principal amount but also its share of the appreciation of the home in proportion to the City's participation in the financial transaction. Hence the fund is considered an "evergreen" fund, or a "revolving loan fund" that is available to be lent out again and again.<sup>1</sup>

DALP loans are made on a first come, first served basis. All properties purchased with down payment assistance loan funds must be single-family residences located in the City including condominiums, townhouses or cooperative units.

The DALP is administered by the Mayor's Office of Housing (MOH) with the assistance of six participating lenders each of which is either a bank or a mortgage company selected by MOH. Participating lenders submit applications to MOH for approval after determining that the borrower is eligible for a first mortgage and appears to be eligible for a second loan from the City to assist the borrower with a down payment.

### III. Procedure

The Civil Grand Jury (CGJ) used multiple sources of information to determine the current status of the DALP and to ensure that our findings and recommendations are credible, valid and realistic. The CGJ:

- Reviewed studies and recommendations made by SPUR (San Francisco Planning & Urban Research Association), and by the Budget Analyst of the Board of Supervisors
- Interviewed individuals and personnel from City departments knowledgeable about the DALP
- Examined documents available on the [www.sfgov.org](http://www.sfgov.org) website and the [www.huduser.org](http://www.huduser.org) website.

Interviewees included personnel from the Mayor's Office of Housing, DALP Homebuyers Education Counseling Agencies, participating lenders, and the San Francisco Redevelopment Agency.

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<sup>1</sup> Example: A unit is purchased for \$400,000 with a DALP loan of \$60,000. When the residence sells it might generate \$600,000, an appreciation of \$200,000 or 50%. The borrower repays the City the original \$60,000 plus \$30,000 which is the 50% appreciation of the loan..

## **IV. Background**

Those who wish to apply for a Down Payment Assistance Loan must do the following:

1. Complete an approved first-time homebuyer's education course.
2. Secure a commitment of a first mortgage from a participating lender.
3. Be approved by the MOH for a DALP loan.

### **A. Education Counseling Agencies.**

Borrowers are required to complete an approved first-time homebuyer's education course. Applicants for down payment assistance must include a certificate of completion with the application package. There are five non-profit education counseling agencies approved by the U.S. Department of Housing and Urban Development. They organize workshops which are free and typically include:

- A. Credit review
- B. Advantages of budgeting
- C. Lender underwriting guidelines
- D. Down payment and closing costs
- E. Shopping for a mortgage
- F. Notice of affordable homeownership opportunities.

In addition, applicants attend individual counseling sessions that include a discussion of home maintenance.

The agencies serve as liaisons between the buyer and potential lenders. The agencies make an initial determination of the applicant's eligibility and help to prepare the DALP application. At this point the applicant may shop for a home within the price range set up by the MOH.

### **B. Participating Lenders.**

The borrower must secure a commitment of a first mortgage from a participating lender. The borrower must contribute a minimum of 5% of the purchase price toward the down payment (3% must be the borrower's own funds, the balance may be in the form of a gift or grant). The bank decides if the applicant qualifies for the loan and prepares the necessary paperwork. The loan and the DALP application are then forwarded to the MOH for approval.

### **C. Mayor's Office of Housing.**

The Down Payment Assistance Loan Program is administered by the MOH in conjunction with the participating lenders. The MOH determines the income limits and subsidy levels for the program. The income limits, and their percentage of median income, depend on the household size – from one person to four or more – and vary from \$49,875 to \$95,000 (effective February 2005).



The maximum DALP loan amount is \$100,000 or 30% of the purchase price, whichever is less. The lower the income, the higher the possible DALP loan.

The maximum sales price for properties purchased with DALP funds are established by the MOH and as of October 2004, are:

| <u>Unit size</u>      | <u>maximum sales price</u> |
|-----------------------|----------------------------|
| Studio/one bedroom    | \$360,000                  |
| Two bedrooms          | \$480,000                  |
| Three bedrooms        | \$550,000                  |
| Four or more bedrooms | \$620,000                  |

Other restrictions are:

- ❖ Properties must be single-family residence units in the City and County of San Francisco,
- ❖ The borrower's household size must be compatible with the property size,
- ❖ Borrowers must occupy the purchased properties as their principal residences, and
- ❖ Properties must remain owner-occupied throughout the terms of the loans (maximum of 40 years).

MOH notifies the lender and applicant if it approves the application for down payment assistance. The funds that were approved are sent to the escrow agent and the deed of trust to the property will reflect the City's contribution and the conditions under which the loan must be repaid upon sale of the residence.

## **V. Discussion**

### **A. Education Counseling Agencies.**

These education counseling agencies are private and non-profit organizations, existing by receiving private grants and through their own fund-raising. The Civil Grand Jury believes these counseling agencies are well managed and staff has their clients' welfare uppermost in their minds.

In interviews personnel from the agencies said they were not aware of any discrimination due to ethnicity in the administration of the DALP or any other unfair rejection of their clients.

There is a problem in that the current approved maximum sales price limits are unrealistic. It has become very difficult or nearly impossible to find a one-bedroom home in San Francisco for \$360,000, or a two-bedroom for \$480,000, or a three-bedroom for \$550,000. Thus it is not possible to take advantage of the approximately \$3,400,000 of DALP funds that are available today for allocation to new borrowers. An interviewee suggested an increase of at least 15% from the Oct. 2004 value scale would be appropriate.



## **B. Participating Lenders.**

The lender determines if the applicant qualifies for a loan and helps the homebuyer with the loan application. The lenders interviewed indicate that the homebuyers have not been discouraged by the process. There have been no defaults on the loans under the DALP.

Due to the low maximum sales price limits many first-time homebuyers have needed both the Below Market Rate (BMR) Units of the San Francisco Redevelopment Agency and the DALP. There are two problems with this linkage: There are about 200 applicants for each available unit (allocated by lottery); and on resale the appreciation of the BMR Unit is limited to the increase in median income, not to the increase in real estate market value. Thus, the DALP revolving fund appreciates to a much lesser degree.

Sometimes it is possible to combine the DALP loan with the California Homebuyers Down-payment Assistance Program (CHDAP) loan. The California Housing Agency web site states "CHDAP offers a unique interest rate, and the repayment of principal and interest is due on the sale of the residences."

The fact that there are 200 applicants for each available BMR unit is an indication of the great need for affordable housing assistance.

## **C. Mayor's Office of Housing.**

By the end of the summer of 2002, 240 loans had been made to first-time homebuyers under the DALP. This obligated all the initially available funds. A SPUR report of July 2002 found that the DALP has been an effective and efficient program.

In a letter of March 29, 2006, to the CGJ the Director of the MOH provided current statistics:

- 293 loans have been made since inception of the program
- The average loan is for \$61,000
- 68 loans have been repaid by borrowers
- There have been no defaults
- \$3,400,000 is available to allocate to new borrowers.

However, it should also be noted that when the program was established, section 43.3.7 of the Administrative Code of the City required the MOH to file an annual report with the Board of Supervisors on the status of the Affordable Housing and Homeownership Program.

In June of 2002, the Budget Analyst criticized the MOH for publishing the Annual report prior to the end of the 2001/2002 fiscal year covered by the annual report. The Analyst insisted that in future years the reports be made after the closing of the fiscal year. The CGJ has been unable to determine whether MOH filed any annual report after 2002 and the MOH was unable to supply the CGJ with a report as regards DALP for the year ended June 30, 2005.

The participating lenders indicate that the MOH is responsive and returns application packages within five days. Rejected applicants can appeal to the Director of the MOH.

An interviewee stated that there have been no objections to the “first come, first served” basis to lending, however it may be appropriate to develop a waiting list when funds have been temporarily depleted.

#### **D. Benefits of Homeownership to the Community.**

Assisting low- and moderate-income households by providing greater access to homeownership, as an instrument of social mobility is an important tool for enabling the lower middle class to remain in San Francisco, working against a city inhabited predominantly by the rich and very poor.

The U.S. Department of Housing and Urban Development has published many studies on the benefits to society of homeownership. A summary of some of their findings follows:

- ✓ Homeownership (HO) benefits neighborhoods as well as individuals because owner-occupiers have a financial stake in the quality of the local community.
- ✓ HO expands individual opportunities to accumulate wealth, enables a family to exert greater control over its living environment, creates incentives for households to better maintain their homes, and may benefit children of homeowners.
- ✓ HO is associated with gaining access to high quality public services and amenities.
- ✓ HO is the primary means of long-term wealth accumulation and financial security for most American families, and plays an important role in promoting neighborhood stability and civic engagement.
- ✓ Parents who own their own home may be helping to boost their children’s educational achievements and even reduce behavioral problems.
- ✓ The greater stability of homeowners is good for child development.
- ✓ Homeowners tend to stay in one place longer than renters. This stability means that children stay in the same schools, and parents and children invest more time in developing positive relationships with their neighbors and the community.
- ✓ A boost in HO strengthens the economy by creating jobs and the need for more durable goods.
- ✓ The longer one puts down roots, the more stake one has in supporting local institutions.

## **VI. Conclusions: Findings and Recommendations**

The Civil Grand Jury finds that the Affordable Housing Bond Program has been successful but it has some shortcomings that should be addressed. More importantly, a new bond measure should be sponsored for more affordable housing as the program addresses deeply held values such as equity, opportunity, and the right to a home.

### *Findings:*

1. The maximum sales price for properties set in October 2004 has been overtaken by a rising local real estate market.
2. The program is on a “first come, first served” basis.
3. The current fund is too small to address the need for affordable housing.
4. The Mayor’s Office of Housing has not filed annual reports on DALP since 2002.

### *Recommendations:*

1. The maximum sales price for properties should be increased to conform to current market rates, an increase of at least 15%. If that is done, efforts should be made to place the now available funds (3.4 million dollars) into the community.
2. When the funds are depleted a waiting list of additional applicants should be developed by the MOH.
3. The Mayor and Board of Supervisors should sponsor a ballot proposition for a general obligation bond that would inject additional money into the revolving DALP fund. Such a proposition should only focus on the DALP---unlike the unsuccessful \$200 million Prop. A in 2004, which grouped \$90 million for homeless housing, \$60 million for rentals, \$25 million for housing development and \$25 million for DALP. The 2004 Prop. A received approval by a majority of the voters but fell 2% short of the 2/3rds majority required for general obligation bonds. Other housing ballot measures can be introduced separately. Prior to the housing bond measures, the City should conduct the due diligence of a comprehensive audit of past housing bonds and have a coordinated plan for future housing needs.
4. The Mayor’s Office of Housing should file the required annual reports with the Board of Supervisors starting with the 2002-2003 fiscal year.

## **VII. Required Responses**

Mayor's Office - 60 days

Mayor's Office of Housing - 60 days

Board of Supervisors - 90 days

## **VIII. Glossary**

|        |                                                       |
|--------|-------------------------------------------------------|
| BMR:   | Below Market Rate                                     |
| CGJ:   | 2005/2006 Civil Grand Jury                            |
| CHDAP: | California Homebuyers Assistance Program              |
| DALP:  | Down Payment Assistance Loan Program                  |
| HUD:   | U.S. Department of Housing and Urban Development      |
| HO:    | Homeownership                                         |
| MOH:   | Mayor's Office of Housing                             |
| SPUR:  | San Francisco Planning and Urban Research Association |

## **IX. Resources**

### Interviews with representatives from:

City and County of San Francisco Mayor's Office of Housing  
San Francisco Redevelopment Agency  
Mission Economic Development Agency  
San Francisco Housing Development Agency  
Washington Mutual Bank, Home Loans  
Wells Fargo Bank, Mortgage

### Documents:

Analysis of the San Francisco Affordable Housing and Homeownership Opportunity Bond Program, Official SPUR report, July 3, 2002  
San Francisco Office of the Budget Analyst, Affordable Housing Report dated June 7, 2002  
Mayor's Office of Housing, Down Payment Assistance Loan Program (DALP), [www.sfgov.org](http://www.sfgov.org), accessed on March 6, 2006.  
HUD User Publications, [www.huduser.org/publications](http://www.huduser.org/publications), accessed on April 3, 2006.  
California Housing Finance Agency, [www.calhfa.ca.gov/homeownership/programs/chdap.htm](http://www.calhfa.ca.gov/homeownership/programs/chdap.htm), accessed May 29, 2006.







**A Report of the 2005-2006 Civil Grand Jury  
For the City and County of San Francisco**

**San Francisco Jails:  
An Investigative Visit**

**Release Date: June, 2006**

## **Purpose of the Civil Grand Jury**

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco to develop constructive recommendations for improving their operations, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which departments, agencies and officers it will investigate during its one-year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee conducts its research by visiting government facilities, meeting with public officials and reviewing appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at: [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680), or by contacting Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## **State Law Requirement**

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or provide identifying information about individuals who spoke to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. For each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was implemented; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, sections. 933, 933.05).

## **Purpose of This Report**

Section 919 (b) of the California Penal Code requires that each Civil Grand Jury inspect jails and prisons within the county during its term of office. While no formal report is required, the 2005-2006 Civil Grand Jury is issuing this report to call attention to some of the problems in the jails and accomplishments of the Sheriff's Department noted by the jurors during their visit to the jails in November 2005.



## **San Francisco Jails – An Investigative Visit**

He who opens a school door, closes a prison.  
- Victor Hugo

### **SUMMARY**

In November 2005, the San Francisco 2005-2006 Civil Grand Jury inspected the jail facilities of the City and County of San Francisco (the City). The jurors found a number of longstanding problems that still need to be addressed, including limited budgets, staffing shortages, antiquated facilities, jail overcrowding, and high recidivism rates.

Although no report is required by the California Penal Code, the 2005-2006 San Francisco Civil Grand Jury is submitting a written report based on information obtained during the one-day on-site visit to the jail facilities, from interviews and a review of materials provided by the San Francisco Sheriff's Department and obtained on the Internet.

The Civil Grand Jury recommends that the City promptly address the overcrowding and physical problems in the jail facilities at the Hall of Justice. It also recommends increased efforts to bring the Sheriff's Department staffing to authorized levels, and a coordinated approach to post-release prisoner services to reduce recidivism.

### **I. INTRODUCTION**

The California Penal Code requires that each Civil Grand Jury inspect jails and prisons within the county during its term of office.<sup>1</sup> On November 18, 2005, members of the 2005-2006 San Francisco Civil Grand Jury (the Civil Grand Jury or the jurors) inspected the majority of the jail facilities in San Francisco County.

The 2005-2006 San Francisco Civil Grand Jury is presenting this report of its findings and recommendations to the Court, the Mayor, the San Francisco Sheriff's

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<sup>1</sup> California Penal Code, §919(b)

Department (SFSD or the Department) and the Department of Public Works (DPW) for their information and review.

The San Francisco County jail facilities are short-term holding facilities that house three types of populations:

- Individuals who have been arrested and are awaiting arraignment.
- Criminally charged defendants awaiting trial and those who are being tried or are awaiting sentencing.
- Convicted offenders with short-term sentences of no more than 15 months and state prison prisoners who are brought into the county for trial and other court appearances.

State prisons, on the other hand, house prisoners who have been convicted of a felony and sentenced to a year or more, up to life or death. All jails and prisons in the state of California are regulated by the California Department of Corrections and Rehabilitation and the Corrections Standards Authority (CSA), formerly called the California Board of Corrections (BOC).<sup>2</sup> No state prisons are located in the County of San Francisco.

## **II. PROCEDURE OR METHODOLOGY**

Approximately three-fourths of the members of the 2005-2006 San Francisco Civil Grand Jury visited the following San Francisco County jails:

- County Jail #1 - Hall of Justice, 6th Floor, San Francisco (capacity 426 -- 320 men and 66 women)
- County Jail #2 - Hall of Justice, 7th Floor, San Francisco (capacity 388 -- 330 men and 58 women)
- County Jail #3 - San Bruno (capacity 552 men)
- County Jail #7 - San Bruno (capacity 372 men)
- County Jail #8 - 425 7th Street, San Francisco, near the Hall of Justice (capacity 392: 248 men and 144 women)
- County Jail #9 - intake and release facility at 425 7<sup>th</sup> Street, San Francisco (no rated capacity. Can hold up to 301 prisoners)
- The newly built county jail in San Bruno, which is not yet operational. (projected capacity: 768 men)

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<sup>2</sup> Name change effective as of July 1, 2005

The jail tour began at approximately 8:30 a.m. when the jurors were taken by the Sheriff's Department to San Bruno and ended at approximately 4:00 p.m. at the Hall of Justice. The jurors did not inspect County Jail No. 5 at San Francisco General Hospital.

Prior to the on-site visit, at the request of the Civil Grand Jury, the Sheriff's Department submitted a packet of information, including a jail population report, staff training information, information on outside contracts and grants, a statistical breakdown of prisoner grievances filed during 2005, meal menus for the month of October, copies of 11 typical grievances filed during 2005, a prisoner orientation handbook, prisoner training curricula, and other statistical data. SFSD also submitted copies of its reports to the Board of Supervisors on the Inmate Welfare Fund for Fiscal Years 2004 and 2005.

In addition to interviews that took place during the on-site visit, the Civil Grand Jury interviewed representatives of some not-for-profit organizations that are providing programs for prisoners, ex-offenders, and their families and reviewed documents related to jail conditions and prisoner treatment.

In the morning portion of the visit, jurors were escorted through the three jail facilities located in San Bruno: County Jails #3 and #7, and the newly built jail in San Bruno located across the street from #7. At the time of the jurors' visit, the new 768-bed jail was unoccupied but was expected to be ready for occupancy during the first half of 2006.

Various staff members of the Sheriff's Department escorted the jurors through representative areas of each jail facility and answered questions. The Sheriff's Department representatives were knowledgeable and helpful. They fully answered all juror questions and provided statistical data to validate statements.

Volunteer prisoner workers served a typical prisoner lunch to the jurors. During lunch these prisoners and Sheriff's Department staff answered questions about the food, programs, and other conditions.

Following lunch at County Jail #7 in San Bruno, jurors were taken back to San Francisco where they did a walk-through of Jails #1 and #2 in the Hall of Justice and #8 and #9 adjoining the Hall of Justice at 425 7<sup>th</sup> Street (commonly referred to as "The Glamour-Slammer," in part because of its dramatic architecture).

At Jails #3 and #7 in San Bruno and at the "Glamour-Slammer" in San Francisco, jurors entered some of the common areas of the jails to inspect the facilities up close and interview prisoners and staff. Prisoners were informed that Civil Grand Jurors were visiting the facilities and several of the prisoners voluntarily spoke with one or more jurors about problems or complaints or to comment on facilities and programs. In addition, a few prisoners were randomly selected for interviews by some of the jurors.

### III. DISCUSSION

In addition to administering the jails, the Sheriff's Department is responsible for providing security for City Hall and the courts, administering the Central Warrants Bureau, and other services. Limited budgets and staffing shortages, jail overcrowding, costs of prisoner care, and recidivism are among the serious issues faced by the Sheriff's Department.

Some of these issues and the jurors' observations during the on-site visit are discussed below.

#### A. Prisoner Profile

The San Francisco County Jail system houses an average daily population of 2,200 prisoners in five jails, County Jails #1, 2, 3, 7, and 8. The system also includes an intake and release facility [County Jail #9], and a hospital ward at San Francisco General Hospital [County Jail #5]. Approximately 55,000 people are booked into the jails annually.<sup>3</sup>

On June 5, 2002, the Sheriff's Department took a "snapshot" of the incarcerated population, broken down by gender, race and ethnicity. On that date, 55 percent of the 1,995 prisoners were African American, 21 percent were Latino or Hispanic, 19 percent were Caucasian, 5 percent were Asian or Pacific Islander, and the remainder were of some other race. Eighty-seven percent of the prisoners were male and 13 percent were female.<sup>4</sup>

Approximately 75 percent of the daily prisoner population consists of individuals who have not yet been sentenced. These include people who have been arrested but not arraigned, arraigned and awaiting trial, or being tried but not yet sentenced. It should be noted that approximately half of those booked into the intake facility are released within 96 hours of their arrest, either on their own recognizance, on bail, or because the charges against them were dropped. The other half of the unsentenced prisoners consists of two groups of people:

- Serious and/or repeat offenders who were denied bail or who were not allowed to be released on their own recognizance
- Offenders who did not have the funds to make bail or the financial ability to be released on bond. These prisoners usually spend approximately four or five months in custody, as their cases move through the courts

The remaining 25 percent of the prison population consists of convicted offenders serving sentences of less than 15 months.

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<sup>3</sup> From the Sheriff's Department website, April 2006, <http://www.sfsheriff.com/jails.htm>

<sup>4</sup> Van de Water, Adam, Office of the Legislative Analyst, San Francisco Board of Supervisors, "Criminal Justice Offender Profile (File # 021527)," April 2, 2003



In a 2002 Jail Population Analysis study of prisoners in San Francisco jails, the Center on Juvenile and Criminal Justice reported that of the 2,052 persons in jail on the morning of February 18, 2002, 47 percent had been arrested on drug-related charges, 35 percent had been arrested for crimes of violence, and 15 percent had been charged with crimes against property. The remaining 3 percent had been arrested for other crimes, such as vehicle code violations and quality of life offenses, (such as public inebriation or excessive noise).<sup>5</sup>

## **B. Facilities**

Jurors reported that the exterior condition of the jail facilities and grounds was satisfactory. No graffiti or peeling paint was noted on the exterior of any of the buildings. All interior portions of the jails viewed by the Civil Grand Jury were very clean on the day of the visit. Bedding, pillows, and clothing also appeared to be clean. No graffiti was noted.

County Jail #3 in San Bruno, built in the 1930s, is the oldest structure in the jail system. In an article about overcrowding in the jails, the *San Francisco Examiner* reported in 1999 that this antiquated facility “poses such earthquake and fire hazards to its 550 inmates that a federal judge has declared it unconstitutional.”<sup>6</sup> As a result of the court’s ruling, the County began construction of a new state-of-the art jail in San Bruno, directly across the street from County Jail #7. Departmental management stated that when the new San Bruno Jail is opened, County Jail #3 will be permanently closed and the prisoners will be transferred to the new jail.

The new jail was originally scheduled to be completed and ready for occupancy in early 2004, at which time the old Jail #3 and Jail #7, built in the 1960s, would have been closed. However, a series of construction and contractual problems have delayed the opening of the new facility.<sup>7</sup> Departmental officials assured jurors that these problems are being resolved. The most recent estimate, provided by a Department spokesperson on May 22, 2006, is that the Department expects the new jail to be ready for occupancy no later than July 1, 2006.

The Sheriff is quoted in the 1999 *Examiner* article, headlined “Inmates sleep on floors in overflowing cell blocks,” as saying “the outdated design [of Jails #1 and #2] presents even more immediate dangers to inmates.” Six years later, although we did not observe any prisoners sleeping on the floors, the 2005-06 Civil Grand Jury noted that the two jails in the Hall of Justice are the most stereotypical and the most unpleasant of all the jails visited, for both prisoners and the staff. The prisoners were in crowded

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<sup>5</sup> Center on Juvenile and Criminal Justice, San Francisco, CA: “Jail Population Analysis.” February 2002

<sup>6</sup> “Inmates sleep on floors in overflowing cell blocks,” *San Francisco Examiner*, July 25, 1999.

<sup>7</sup> Matier, Phillip and Andrew Ross, 2005. “Glitches handcuff city’s move to open new jail,” *San Francisco Chronicle*, May 18, 2005.

conditions, the design is antiquated, the noise level was annoying, with the exception of the women's section of Jail #2, there are no windows or natural light. The monotonous drab-colored walls have an impersonal, institutional feeling and the uncovered hard surfaces intensify the noise problem.

In Jail #1, on the sixth floor of the Hall of Justice, the most crowded area was the women's section. The cells were small and four or more cots were crowded into one cell. The cots appeared to be only about 24" apart, giving the women prisoners very little personal space. In the men's facility, each cellblock had adjacent common space where the prisoners could sit, eat, read, or socialize. The women did not have any common areas. In some of the cells, women prisoners were observed eating dinner sitting on their cots.

Departmental staff said that once the changeover to the new San Bruno jail is completed, male prisoners will be moved out of Jail #8 at 425 7<sup>th</sup> Street and the entire facility will be used by women prisoners. This will alleviate the overcrowding in the women's portion of Jail #1.

Jurors found the indoor air quality and temperature of the Hall of Justice jails to be noticeably uncomfortable. The indoor air problems in the Hall of Justice have been in existence for the better part of a decade or more. The 1999-2000 Civil Grand Jury found that "County Jails #1 and #2 located at the Hall of Justice have noticeable problems with ventilation and air flow" and recommended that the "ventilation problem at County Jails #1 and #2 should be corrected or at least alleviated in some way... The Sheriff's Department should look into short-term and long-term solutions to improve the ventilation in these facilities."<sup>8</sup> Departmental staff said the Hall of Justice HVAC system replacement project was to be completed in four phases. To date, only three of these have been completed. The final phase of the project, replacement of the HVAC system for Jails #1 and #2, although also included in recent budgets, has been delayed several times.

The 2005-2006 budget includes \$600,000 for completion of the Hall of Justice cooling system.<sup>9</sup> However, as of May 2006, the air quality problems in the Hall of Justice jails had not yet been addressed. Completion of the cooling system may be included in the \$2.7 million in capital improvements for the Hall of Justice in the Mayor's proposed 2006-2007 budget, which was released at the end of May.<sup>10</sup>

The Mayor's proposed 2006-2007 budget also includes \$800,000 for pre-planning for the replacement of the Hall of Justice. It is estimated, however, that it will be at least 10 to 15 years before a replacement Hall of Justice will be completed.

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<sup>8</sup> 1999-2000 Civil Grand Jury Reports – Sheriff's Department. [http://www.sfgov.org/site/courts\\_page.asp?id=3730](http://www.sfgov.org/site/courts_page.asp?id=3730) (April 2006)

<sup>9</sup> Mayor's Office of Budget Policy and Finance, "Budget Summary 2005-2006," San Francisco, June 6, 2005

<sup>10</sup> Mayor's Office of Communications. Press Release: "Mayor Newsom Announces Largest General Fund Capital Budget in City's History," May 24, 2006.

In contrast to the older jails, the new (but not yet operational) jail in San Bruno provides a much more pleasant physical environment for staff as well as prisoners. For example, there were a variety of design colors and ample natural light to offset the fluorescent lighting system. Artwork was on display in attractive common areas.

### C. Staffing

The jurors' overall impression of Departmental staff was very favorable. Without exception, staff interviewed appeared to be knowledgeable and well trained. They were forthcoming about their job duties and morale appeared to be good despite the Department's chronic staff shortages. The officers assigned to work in the jails are ethnically and gender diverse: approximately 75 percent of the deputies are ethnic minorities and about 25 percent are women. All officers observed looked sharp and clean; their uniforms were well pressed and conformed to Departmental requirements.

The Civil Grand Jury did not perceive any relationship problems or tensions between the prisoners and the staff. With only one exception, prisoners interviewed did not complain about their treatment. The Jury was impressed by the apparently cordial relationships among the prisoners and the staff.

At the time of the jail visit, Departmental management reported there were a sufficient number of **budgeted** positions to maintain current staffing objectives. However, there were not a sufficient number of **filled** positions. In FY 2005, there were 87 vacant positions due to turnover and retirements, with the result that an average of 50 involuntary overtime slots were needed to achieve the minimum levels of staffing required by the CSA. Moreover, due to cost-cutting measures, there were 11.5 fewer full-time equivalent positions (FTEs) in the FY 05-06 budget, than there were in the FY 04-05 budget.<sup>11</sup>

A recent two-year hiring freeze, instituted due to financial constraints, was lifted in 2005. Since then, however, new hires have just been replacing people who resigned or retired. Thirty-five new deputies were hired in 2006, of which 31 completed the required police academy training. However, during this period, the Department lost 27 officers due to retirement or other reasons. Therefore, in order to ensure that there are a sufficient number of deputies in the jails at all times, the Department must resort to overtime, either voluntary or mandatory. Mandatory overtime is instituted when there are an insufficient number of volunteers for a given shift.

There is an open job announcement for 8302 Deputy Sheriff 1, the entry-level deputy position. New hires attend an introductory seven-week Department orientation course, then a six-week jail training Officer program before they are ready to serve at the jails. Deputies also attend a 20-week California State certified course at the Police

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<sup>11</sup> Murray, Andrew: Legislative Analyst Memorandum, Re: Sheriff's Department April 21, 2005 Presentation to the Budget and Finance Committee, April 20, 2005



Academy during the first year of their employment. Upon graduation from the Academy, deputies are then fully accredited peace officers under California law.<sup>12</sup>

Understaffing, together with a high level of dependence upon mandatory overtime, is detrimental to the safety of both Departmental staff and prisoners in custody. According to an article in the *Contra Costa Times*, violence among prisoners in the Los Angeles County jails has nearly doubled in the past three years, largely due to a funding crisis and staffing shortages. L.A. County's inmate-to-deputy ratio is one of the highest in the country and, as a result, inmate-on-inmate assaults at one L.A. County facility rose from 351 in 2003 to 614 last year.<sup>13</sup>

Because the San Francisco Sheriff's Department proactively strives to keep such assaults at a minimum, the prisoner-on-prisoner assault rate is considerably less than in Los Angeles. Staff reported that the total number of prisoner-on-prisoner assaults in all seven San Francisco County jails was 247 in FY 2005. However, the trend of trimming the budget of the SFSD that began with the FY 03-04 and FY 04-05 budgets and continued in the FY 05-06 budget<sup>14</sup> is a major concern.

## **D. Nutrition**

Civil Grand Jurors were served a prisoner lunch consisting of four slices of whole wheat bread, four slices of lunch meat, corn chips, an apple, ½ pint of milk, and condiments (mustard and mayonnaise). Prisoners interviewed said that the food served to the Grand Jurors was a standard prisoner lunch. The lunch served to prisoners who do not have special dietary requirements consists of either lunchmeat or peanut butter sandwiches. No lettuce or other sandwich fillings are offered.

Breakfasts and dinners are more varied and are served warm. Vegetables and dessert are served with the evening meal. The menus are fixed and do not allow for individual choices. All prisoners on a particular diet receive the same food on a given day. The Department submitted a sampling of menus that indicate prisoners are provided

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<sup>12</sup> California Penal Code §13510.1, Peace Officers Standards and Training (POST) training program certification

<sup>13</sup> "Los Angeles jail riots underscore rising violence among prisoners," *Contra Costa Times*, February 6, 2005

<sup>14</sup> Murray, Andrew: Legislative Analyst Memorandum, Re: Sheriff's Department April 21, 2005 Presentation to the Budget and Finance Committee, April 20, 2005. The following is an excerpt from page 4 of the report:

The department's FY 05-06 proposed budget totals \$144.5M, a reduction of \$2.0M over its original FY 04-05 budget and \$1.3M less than its projected FY 04-05 year-end actual. Notably, the department is budgeting \$1.5M less for programs, \$856,787 less for facilities, and \$382,942 less for recruitment and training than it did in its original FY 04-05 budget. It is also budgeting for 11.5 fewer FTE in FY 05-06 than it did in FY 04-05.

Significant cuts (savings) that were implemented in FY 03-04 and FY 04-05 include:

- Closing three dormitories at County Jail No. 7 (\$1.5M);
- Eliminating porter services at County Jail No. 7 (\$280,000);
- Eliminating post-custody drug rehabilitation beds (\$1.7M);
- Eliminating Station Transfer Unit services (\$2.0M);
- Reducing hours and staffing at City Hall (\$200,000);
- Freezing hiring of new 8302 Deputy Sheriffs for last two fiscal years (\$1.5M per year); and
- Laying off 26 8300 cadets (\$700,000)



balanced 3000-calorie meals. The food, while somewhat monotonous, meets basic dietary needs.

In addition to the standard food offerings certain dietary needs are accommodated if requested by the prisoner or medical staff: Special menus include kosher/halal (offered to both Jews and Muslims), vegan, low salt, or diabetic. Many jurors said it is commendable that the Department both meets the nutritional needs of prisoners and provides special menus to meet dietary preferences or needs.

#### **E. Medical services**

Prisoners are given a medical screening and evaluation during their initial processing. They are provided with basic medical care and receive prescribed medications during "pill call." Medical, dental, mental health and social work services are provided upon request. Mental health services include crisis intervention and individual therapy.

#### **F. Inmate Welfare Fund**

Each county in the State of California is required by state law to maintain an Inmate Welfare Fund and the State Penal Code grants the Sheriff the authority to establish, maintain and operate a store in connection with the county jail. Profits from the commissary sales and pay phones used by prisoners must be deposited into the Inmate Welfare Fund, together with 10 percent of all sale proceeds from inmate hobby crafts.

Penal Code Section 4025 (e) states that all profits placed into the Inmate Welfare Fund shall be expended "primarily for the benefit, education and welfare of the inmates confined within the jail. Any funds that are not needed for the welfare of the inmates may be expended for the maintenance of county jail facilities. Maintenance of county jail facilities may include, but is not limited to, the salary and benefits of personnel used in the programs to benefit the inmates, including, but not limited to, education, drug and alcohol treatment, welfare, library, accounting, and other programs deemed appropriate by the Sheriff. An annual report of these expenditures shall be submitted annually to the Board of Supervisors."

The Civil Grand Jury reviewed the two most recent Inmate Welfare Fund reports to the Board of Supervisors. Total fund revenues in FY 2004 were \$1,316,861, of which \$91,617 (7 percent) was carried over to FY 2005. Expenditures totaled \$1,225,245. Approximately 60-65 percent of the expenditures were for pre-release prisoner programs and other direct benefits. The remaining 35-40 percent was spent on staff salaries, benefits and overhead.

In FY 2005, total revenues were \$1,210,613, of which \$333,903 (27 percent) was carried over to FY 2006. Expenditures totaled \$876,710. Approximately 50 percent of

the expenditures were used for pre-release prisoner programs and other direct prisoner benefits. The other 50 percent were spent on staff salaries, benefits and overhead.

The Civil Grand Jury's brief examination of the Inmate Welfare Fund revealed no problems or irregularities.

## **G. Pre-Release Rehabilitation Programs**

In a study of correctional programs released in January 2006, the Washington State Institute for Public Policy found that adult education programs, vocational programs and drug treatment programs for prisoners in jail reduce recidivism rates between 5 and 12 percent. The authors of the study noted that even relatively small reductions in recidivism rates can be quite cost-beneficial. For example, a 5 percent reduction in the reconviction rates of high-risk offenders can generate significant benefits for taxpayers and crime victims.<sup>15</sup>

Under the guidance of Sheriff Hennessey, several nontraditional programs for prisoners in the San Francisco jail system have been instituted, including acupuncture, high school classes, organic gardening therapy, yoga, and Tree Corps, a project that offers former prisoners employment planting and tending trees in and around the City.

- **Education**

Prisoners without a high school diploma may attend the on-site Charter High School operated by the San Francisco School District, which has established the curriculum and the eligibility criteria. Prisoners who participate in the program receive high school credits for each course satisfactorily completed.

The Five Keys Charter School continues to be a trendsetter in terms of providing high school classes to the incarcerated. Because a major barrier to completion of the coursework is the length of time a prisoner is incarcerated, after their release, students are encouraged to continue their classes at the school's campus at 70 Oak Grove, San Francisco. Departmental staff reported that approximately 35-40 former prisoners are currently enrolled there.

Although not directly funded by the City and County of San Francisco, the Northern California Service League, a not-for-profit agency, operates various pre- and post-release programs for prisoners and their families.<sup>16</sup> One of the League's programs is the San Francisco Jail Tutoring Project that was created in the fall of 2003 to assist prisoners in Jails #1, #2, and #8 in their preparation for the GED examination. The League staffs this program with volunteers and interns. The League recruits at UC Berkeley and has a recruiting agreement with the Associated Students of the University of California,

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<sup>15</sup> Washington State Institute for Public Policy, "Programs: What works and what does not," January 2006.

<sup>16</sup> Northern California Service League Web page at <http://www.norcal-serviceleague.org/> (April 2006)

Berkeley (ASUC), which has recognized the San Francisco Jail Tutoring Project as a second-year funded Student-Initiated Service Group.<sup>17</sup> While this program has achieved results, its success is dependent on the recruitment of volunteers, who are frequently reluctant to work with people incarcerated in jail. Therefore, the League's services in the jails are intermittent. The program is limited to the San Francisco jail sites.

One interviewed prisoner in County Jail #7 said that he tried to enroll in the Charter High School classes but was unable to because he had a GED and asked jurors if they could help. This request was brought to the attention of Departmental management, who said they would look into it, although they noted it is the charter school that establishes the eligibility criteria. The request highlights the loss of adult education opportunities.

- **Vocational training**

Because of funding and other constraints, the only vocational programs currently being offered are culinary and arts programs. Vocational training in the jails had in the past also included the Garden Project/ horticulture, print shop, landscaping, arts instruction and job readiness.

- **Substance abuse recovery programs**

- "Roads to Recovery." This is a substance abuse program for men designed to develop strengths and acquire skills for a productive, positive lifestyle free from substance abuse. In addition to 12-step programs, the program offers anger management, family issues, life skills, academic classes, and community planning/recovery process groups. Because of funding limitations, there is a waiting list for this program. Before the 2003 budget cuts there were three dormitories in Jail #7 for men enrolled in this program.<sup>18</sup> Now, although demand is still high, there is only one.
- "Sisters in Sober Treatment Empowered in Recovery" (SISTER). In collaboration with Walden House, the SISTER project provides substance abuse treatment for women prisoners in Jail #8. The project also coordinates post-release services for women in recovery.

- **Violence prevention program**

"Resolve to Stop the Violence" (RSVP). This violence prevention program is designed to reduce recidivism and coordinate the re-entry of ex-offenders as productive members of their respective communities. It is a 16-hour-a-

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<sup>17</sup> The Associated Students of the University of California, Berkeley (ASUC), [www.asuc.org/documentation/](http://www.asuc.org/documentation/)

<sup>18</sup> Murray, Andrew: Legislative Analyst Memorandum, Re: Sheriff's Department April 21, 2005 Presentation to the Budget and Finance Committee, April 20, 2005, which included the "Closing of three dormitories at County Jail No. 7."



day program staffed by deputy sheriffs, community violence counselors, and staffs from organizations representing victims and survivors of violent crimes. There is a waiting list for this program.

- **Alternative program**

The “Sheriff’s Work Alternative Program” (SWAP). This is an alternative to general incarceration. Prisoners selected to participate in the program are assessed according to educational and substance abuse counseling needs and then assigned to a work detail. Participants receive a combination of counseling and classes during the last 60 days of their sentence.

## **H. Post-Release Programs**

According to staff interviewed, the recidivism rate among prisoners is a major problem. They estimate that more than 40 percent of the prisoners are repeat offenders. Yet, because of budgetary restraints, the Sheriff’s Department has only a limited number of post-release programs, some of which have been augmented by a small number of federal grants. Although prisoners in alternative programs or on parole are required to participate in certain of the post-release programs, Departmental staff said the Department has limited jurisdiction over prisoners who have completed their sentences. Thus, for this latter group, participation would, for the most part, be voluntary.

SFSD staff said that when the Department is given sufficient advance notice of a prisoner’s release the prisoner is provided with information about available post-release programs and services. RSVP, SISTER, the Garden Project, Project Rebound at San Francisco State University, the State of California Department of Rehabilitation, Friends Outside, the Delancey Street Foundation, Asian Neighborhood Design, the Central City Hospitality House and the Northern California Service League are among the agencies that provide services to former jail prisoners.

The Washington State Institute for Public Policy study of corrections programs found that post-release cognitive behavioral treatment programs can be expected to reduce recidivism rates by 8.2 percent.<sup>19</sup> Sheriff’s Department management indicated that an effective coordinated post-release program could be run with a full-time staff of three to five people, at the cost about \$300,000 in salaries and benefits per year.

Staff estimated that each prisoner costs the county about \$100 per day and the average prisoner stays in jail about four months. Thus, the cost to San Francisco taxpayers averages about \$12,000 per year for each person incarcerated. According to the Sheriff’s website, approximately 55,000 people are booked into the jails each year.<sup>20</sup>

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<sup>19</sup> Washington State Institute for Public Policy, “ Programs: What works and what does not,” January 2006.

<sup>20</sup> <http://www.sfsheriff.com/jails.htm> (May 2006)



If the recidivism rate were reduced by a small amount -- only 0.5 percent-- the net savings could amount to as much as \$3 million. Even a one-tenth of 1 percent reduction in recidivism (only 55 persons) would result in a significant net savings to the taxpayers of about \$660,000. Every additional person who is helped by a program to stay out of jail would save the city an additional \$12,000. There would be related savings in reduced police, medical, and court costs.

The indirect savings to the taxpayers from this program would be even greater. Fewer people would be victims of crime. Families of both the ex-offenders and their potential victims would be immeasurably better off. Productive ex-offenders who stay in the city could become employed taxpayers.

## **IV. FINDINGS AND RECOMMENDATIONS**

### **Facilities**

#### ***Finding:***

- 1.1 At the time of the on-site visit, the women's sections of the jails in the Hall of Justice were unacceptably crowded. However, the Department is currently planning to rectify this situation by moving most of the women to Jail #8 at 425 7<sup>th</sup> Street.

#### ***Recommendation:***

- 1.1 **Ensure that funds for the transfer of women from Jails #1 and #2 are included in the 2006-2007 budget in order that the planned move can be expeditiously carried out.**

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|----------------------------|
| <b>Required Responses:</b> |
| Mayor's Office – 60 days   |
| SFSD – 60 days             |

***Finding:***

- 1.2a There is a pressing need to rectify the ventilation problems in Jails #1 and #2 in the Hall of Justice. Problems with air quality in the Hall of Justice jails have been in existence for at least five years, if not longer. The 1999-2000 Civil Grand Jury made the following finding:

County Jails #1 and #2 located at the Hall of Justice have noticeable problems with ventilation and air flow, which cause great discomfort to staff and inmates, especially in hot weather.

- 1.2b The 1999-2000 Civil Grand Jury recommended that the "Sheriff's Department should look into short-term and long-term solutions to improve the ventilation in these facilities." However, during the on-site visit in 2005, Civil Grand Jurors found similar ventilation and air quality problems; thus, whatever solutions were devised as a response to the 1999-2000 CGJ findings, if any, have not rectified the problem.
- 1.2c In recent years, funds were budgeted for the replacement of the Hall of Justice cooling system. This project was to be done in four phases and three phases have been completed. The final phase, replacement of the cooling system for Jails #1 and #2, although included in the 2005-2006, has not been completed.
- 1.2d Various interviewees indicated that the reason the cooling system for the Jails #1 and #2 has not been replaced is because the City is going to construct a new Hall of Justice. Although a replacement for the Hall of Justice is in the planning stage, it will be at least 10-15 years before a new facility is completed and ready for occupancy.

***Recommendation:***

- 1.2 **The cooling system replacement for Jails #1 and #2 in the Hall of Justice should not be delayed any longer. The cooling system should be replaced prior to the end of 2006.**

**Required Responses:**

Mayor's Office – 60 days  
DPW – 60 days  
SFSD – 60 days

***Finding:***

- 1.3 The physical environment of Jails #1 and #2 in the Hall of Justice has not been updated to conform to newer jail design aesthetics. Drab unadorned walls and noisy acoustics contribute to the unpleasant atmosphere for both prisoners and staff.

***Recommendations:***

- 1.3 Evaluate the physical environment of Jails #1 and #2 in the Hall of Justice and, if practical, apply some of the environmental design concepts incorporated into the new San Bruno Jail, including a variety of colors, noise reduction techniques, and art. We urge the City to include funds for these recommended design improvements to the existing Jails #1 and #2 in the 2006-07 budget.
- **Acoustics.** With the help of an acoustical expert, develop a design for reducing the noise level with the objective of producing a quieter and therefore more calming environment in Jails #1 and #2.  
Investigate introducing sound-deadening textures or devices on walls and ceilings to help reduce the noise level.
  - **Colors.** When repainting or replacing items, utilize colors from the overall color master plan of the new San Bruno Jail to replace the beige/gray blandness in Jails #1 and #2.
  - **Art:** Consider enhancing the prison environment by displaying prisoners' art on some of the walls.

**Required Responses:**

Mayor's Office – 60 days

DPW – 60 days

SFSD – 60 days

**Staffing**

***Finding:***

- 2.1 Unfilled SFSD staff positions adversely affect the running of San Francisco jails.
- 2.2 Although Departmental representatives state the Sheriff's Department recruits at job fairs and at the Department's internet site, the Department does not have a comprehensive recruitment plan. A recruitment plan is a marketing plan for open

positions. Such a plan will coordinate recruitment efforts and maximize the utilization of time and resources spent on recruitment.

- 2.3 A Google search in early June for “sheriff recruitment” and “sheriff job openings” did not result in any links to the San Francisco Sheriff’s Department recruitment Website, although there were links to the sheriff’s departments of many other California counties.

### ***Recommendation***

- 2.1 **The continued recruitment and hiring of new deputies should be given top priority. The Department should develop a coordinated recruitment outreach plan so that information about the current deputy recruitment program is disseminated widely to community groups, peace officer associations, and Web sites.**

For example, the Department could list Deputy Sheriff positions on Internet sites such as:

- Women Peace Officers Association of California at [http://www.wpoaca.com/Job%20Flyers/Cal/cal\\_jobs.html](http://www.wpoaca.com/Job%20Flyers/Cal/cal_jobs.html),
- Police Officers Research Association of California at <http://www.porac.org/employment.html>,
- Golden State Police Officers Association at <http://www.gspoa.com>  
[Note: The SF Police Department has jobs advertised on this site.],
- Other Internet job sites such as [www.indeed.com](http://www.indeed.com), [www.usajobs.com](http://www.usajobs.com),  
<http://www.deputy.sheriff.jobs.com>

- 2.2 **The SFSD should consult with the Department of Telecommunications and Information Services (DTIS) to determine how to maximize the effectiveness of the SFSD Website and how to ensure that the Department’s recruitment efforts get maximum exposure on Google and other search engine web sites.**

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|----------------------------|
| <b>Required Responses:</b> |
|----------------------------|

|                                            |
|--------------------------------------------|
| Mayor’s Office – 60 days<br>SFSD – 60 days |
|--------------------------------------------|



## Post-release programs

### *Finding:*

- 3.1 Post-release programs can contribute to reducing the recidivism rate. Programs exist in San Francisco, but the funds and organization to help released prisoners find and connect to them do not exist.

### *Recommendation:*

- 3.1 **It is recommended that the Office of the Mayor provide leadership by issuing a statement supporting an integrated, multi-agency approach to programs for prisoners released from custody.** This global approach could stretch limited funding by coordinating existing governmental resources with community agencies mentioned in the discussion section of the report, as well as such additional agencies as Walden House, the Northern California Service League and established drug rehabilitation programs.

**It is also recommended that the Board of Supervisors and the Mayor follow up the above statement by funding a pilot project to reduce recidivism.** Such a program, funded at \$300,000 a year for five years, could consist of a few staff either within or in close connection with the SFSD. The program would coordinate SFSD members or others who would counsel prisoners about available services prior to release and coordinate access to those services post-release. The object would be to encourage and facilitate released prisoners to avail themselves of those existing opportunities.

After four years of operation, the City would be in a position to evaluate such a program. If it is found that recidivism has been reduced by even one per cent, enough money will have been saved to cover the cost of the program and the program should be continued. If the program reduces recidivism by a larger percentage, it would be a net savings to the City. If it fails to reduce recidivism, the City should consider what other means to reduce recidivism might be appropriate.

#### **Required Responses:**

Mayor's Office – 60 days  
SFSD – 60 days  
Board of Supervisors – 60 days

## **GLOSSARY**

|                  |                                                                                                                                                                                                                                                                                                                                       |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>CSA</b>       | Corrections Standards Authority (CSA), formerly named the California Board of Corrections (BOC).                                                                                                                                                                                                                                      |
| <b>DCR</b>       | Department of Corrections and Rehabilitation (DCR). The state of California agency that regulates jails and prisons throughout the state.                                                                                                                                                                                             |
| <b>Prisoner:</b> | Although the public commonly refers to incarcerated individuals as “inmates,” representatives of the Sheriff’s Department informed jurors that the correct term to use when referring to individuals incarcerated in a San Francisco county jail facility is “prisoner.” Therefore, the term prisoner is used throughout this report. |
| <b>POST</b>      | Peace Officer Standards and Training (POST) certification. The training standard for correctional officers established by the DCR.                                                                                                                                                                                                    |
| <b>SFSD</b>      | San Francisco Sheriff’s Department.                                                                                                                                                                                                                                                                                                   |

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**A Report of the 2005-2006 Civil Grand Jury  
For the City and County of San Francisco**

**Continuity Report**

**Cooperation  
+  
Collaboration,  
+  
Communication  
=  
Continuity**

**Report Released: June 2006**

## Purpose of the Civil Grand Jury

The purpose of the Civil Grand Jury is to investigate the operations of the various departments, agencies, and officers of the government of the City and County of San Francisco to develop constructive recommendations for improving their operations, as required by law.

Each Civil Grand Jury has the opportunity and responsibility to determine which departments, agencies and officers it will investigate during its one-year term of office. To accomplish this task, the Civil Grand Jury divides into committees. Each committee conducts its research by visiting government facilities, meeting with public officials and reviewing appropriate documents.

The nineteen members of the Civil Grand Jury are selected at random from a pool of thirty prospective jurors. San Francisco residents are invited to apply. More information can be found at: [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680), or by contacting Civil Grand Jury, 400 McAllister Street, Room 008, San Francisco, CA 94102; (415) 551-3605.

## State Law Requirement

Pursuant to state law, reports of the Civil Grand Jury do not identify the names or provide identifying information about individuals who spoke to the Civil Grand Jury.

Departments and agencies identified in the report must respond to the Presiding Judge of the Superior Court within the number of days specified, with a copy sent to the Board of Supervisors. For each finding of the Civil Grand Jury, the response must either (1) agree with the finding, or (2) disagree with it, wholly or partially, and explain why. Further, as to each recommendation made by the Civil Grand Jury, the responding party must report either (1) that the recommendation has been implemented, with a summary explanation of how it was implemented; (2) the recommendation has not been implemented, but will be implemented in the future, with a time frame for the implementation; (3) the recommendation requires further analysis, with an explanation of the scope of that analysis and a time frame for the officer or agency head to be prepared to discuss it (less than six months from the release of this report); or (4) that recommendation will not be implemented because it is not warranted or reasonable, with an explanation of why that is. (California Penal Code, sections. 933, 933.05).



## PURPOSE OF THIS REPORT

To demonstrate how four “Cs”-- Cooperation, Collaboration, Communication and Continuity -- can be used to build a dynamic working relationship between the Office of the Mayor, the Office of the Controller and the Civil Grand Jury (CGJ).

### I. SUMMARY

“I am pleased to present my response to the 2004-2005 Civil Grand Jury Report entitled ‘Continuity Report’. This underscores my continued commitment to improving the efficiency of the Civil Grand Jury process and improving community services for the citizens of the City and County of San Francisco.”<sup>1</sup>

The above quote prefaced the Mayor’s response to the findings and recommendations of the CGJ’s 2004-2005 Continuity Report. The Mayor’s statement of support validates the importance of the CGJ’s work, and sets the tone for a positive working relationship between City government and the CGJ.

An effective way to record and update the status of recommendations by a Civil Grand Jury is by means of a tracking document. This was referred to in the Civil Grand Jury Continuity Committee reports of 2001-2002 and 2004-2005. In concert with the Mayor’s Office and the Controller’s Office the 2005-2006 Civil Grand Jury developed such a document to be used by future Continuity Committees in making their follow-up on responses and follow through easier and more thorough. This document can be found at the end of this report.

In addition to creating this tracking document, the 2005-2006 Continuity Committee identified three past CGJ reports that merited detailed follow-up. Selection of these reports was based upon three factors:

- 1) The recommendations were either in progress or had not yet been addressed,
- 2) There had been changes in leadership within the department since the CGJ investigation, or
- 3) Recent events warranted another review.

The three reports with their current findings and recommendations selected were:

1. 2001-2002 CGJ Report, *Hunters Point Naval Shipyard*

It was found that communications between the community organizations and the City have improved and no further follow-up is presently necessary.

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<sup>1</sup> Mayor Newsom’s response to the Continuity Report of the 2004-2005 Civil Grand Jury, September 2005

2. 2002-2003 CGJ Report, *Preferential Treatment Persists In a Department Marked by Political Pressures and a Leadership Void. Civil Grand Jury Report on the Management of the Department of Building Inspection*

There is still much that needs to be accomplished including (1) obtaining updated permit tracking systems and subsequent staff training, (2) finalizing and implementing the "Statement of Incompatible Activities" as well as the "Code of Professional Conduct."

3. 2003-2004 CGJ Report, *The Merger of Emergency Medical Services and the San Francisco Fire Department: A Match Made in Heaven or a Shotgun Wedding?*<sup>2</sup>

The San Francisco Fire Department Chief has numerous challenges ahead of her and appears to be well on her way to implementing the recommendations set forth by the 2003-2004 Civil Grand Jury, including (1) Emergency Medical Services vehicles and staff to be deployed by area and time of day based on statistical analysis, (2) consolidation of EMS and SFFD equipment and training activities on Treasure Island , and (3) a drug testing program accompanied by a substance abuse program to achieve "zero" tolerance for on-duty use of drugs and alcohol.

## II. INTRODUCTION

Unfortunately, there has been no consistent process to follow through or track the implementation of CGJ recommendations that address findings from previous Civil Grand Jury reports.

Each year the Civil Grand Jury selects the aspects of city and county government that it will investigate. Similarly, the Grand Jury determines whether to pursue issues raised and recommendations made in the reports of previous Grand Juries. As stated in the 2001-2002 Civil Grand Jury report, "This freedom to choose, and thereby to ignore the work of its predecessors, may result in a failure to assure that a previous Civil Grand Jury's work is complete. For the institution of the Civil Grand Jury to engender faith among the recipients of its recommendations – and to generate interest in and respect of its annual reports—there must be the assurance that the Civil Grand Jury recognizes the worth of the efforts of previous juries."

The 2005-2006 Grand Jury agreed that it should ensure that recommendations made in the reports of several previous Civil Grand Juries were addressed by their named respondents. Therefore, this year's Grand Jury reviewed all responses to the reports from 2001 through 2004, contacted several agencies/departments/offices and conducted additional interviews and research in instances where it determined that responses were either inadequate or incomplete. The Civil Grand Jury also inquired about responses to selected reports of previous Civil Grand Juries.

The Jury reviewed how city departments processed previous Civil Grand Jury recommendations related to findings from an initial Civil Grand Jury report; through to the time the department acts upon, plans for, or abandons the recommendations made. Until recently the City

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<sup>2</sup> Reports are available on line at [http://www.sfgov.org/site/courts\\_page.asp?id=3680](http://www.sfgov.org/site/courts_page.asp?id=3680)

had no systematic way to document the follow through of departments to implement or analyze recommendations once the Controller's Financial Audits were published in the fiscal year following issuance of the initial report.

Follow up is a complex, confusing and frustrating task for each year's newly formed CGJ. Previous CGJ Continuity Reports (2001-2002, 2004-2005) also reported on this issue and suggested that the City needed to develop a method to effectively track recommendations until they were fully implemented or abandoned. The work of this year's Jury began with the following understandings:

1. Each Civil Grand Jury is an independent body that investigates various City departments and subsequently makes findings and recommendations to enhance the functioning of these departments.
2. Penal Code 933.05 requires that officials respond to recommendations.
3. When the Civil Grand Jury makes a recommendation that address findings contained in a report, departments/agencies have the discretion to (1) agree or disagree with its content, (2) indicate that the recommendation requires further study, (3) indicate that it has implemented or will implement the recommendation, or (4) indicate that the recommendation is unreasonable or unwarranted and will not be implemented.

In the course of reviewing and discussing previous CGJ Reports, the following was determined:

1. The responses from the Mayor's and the Controller's Offices to the 2004-2005 CGJ's Continuity Report recommendations for a tracking process were positive.<sup>3</sup> The Mayor's Office will institute a tracking process for all CGJ recommendations requesting departmental implementation. The Controller's Office will provide the Mayor and the Board of Supervisors with an annual status report of recommendations. (see Appendix A)
2. After information from the Controller's Audit of Civil Grand Jury reports released in a given year is issued (previously approximately one year after a report was released), no process is in place for the City to follow up on recommendations. As a result, tracking accountability is difficult to accomplish.
3. Until recently, no coordinated process existed between the Civil Grand Jury, the Controller's Office, and the Mayor's Office to monitor responses to Grand Jury reports and the implementation of recommendations by City departments.
4. Many responses to previous recommendations lack specificity with regard to how the City will implement recommendations, even though the department agrees with the

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<sup>3</sup> Mayor's Response to the 2004 - 2005 Civil Grand Jury Continuity Report, September 12, 2005 and Controller's Response to the 2004 - 2005 Civil Grand Jury Report Continuity Report, July 20, 2005



finding(s) and states in its response that it will implement the recommendation(s) made by the Civil Grand Jury.

5. Vague responses by the Board of Supervisors to CGJ recommendations do not specify any intended actions. The Board's most frequent responses are: "The Board held a hearing and supports the Civil Grand Jury Report." - "The Board conducted ... a public hearing... The Board filed this item."<sup>4</sup> While the Board is only required to address budgetary or personnel matters over which it has decision making authority, there are examples of recommendations that did address these matters and the response by the Board were vague. The 2004-2005 Continuity Report recommended the Board hold an annual hearing on all outstanding recommendations where implementation is still pending. The Board provided no response to this specific recommendation.

To validate the efforts of former Civil Grand Juries and to encourage accountability by responding entities, the 2005-2006 Continuity Committee report suggests new ways to monitor recommendations and responses. It is in the spirit of cooperation, communication, collaboration and continuity we make recommendations that address:

1. The development of a document and a process to use for tracking CGJ recommendations and responses that demonstrate progress.
2. The implementation of recommendations by categorizing their progress into one of four categories:
  - a. Fully implemented
  - b. In the process of being implemented
  - c. Requires further study
  - d. Abandoned - no longer relevant or feasible
3. Methods of encouraging collaboration among the CGJ, the Mayor's Office and the Controller's Office on continuity issues.
4. Responses by the Board of Supervisors to CGJ recommendations.

The 2005-2006 Civil Grand Jury worked in concert with the members of the Mayor's Office and the City Controller's Office to create a working document - a tracking chart, to assist Continuity Committees of future Civil Grand Juries. Its format helps concerned parties to monitor the findings, recommendations, responses and follow through by respondents from one year to the next.

The 2005-2006 Civil Grand Jury selected one study from each of three years, 2001-2004, to review in depth. These were:

1. The 2001-2002 study on Hunters Point Naval Shipyard

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<sup>4</sup> A random sampling of 12 responses from the Board of Supervisors follow up reports to Judge Dondero and Judge Hitchens



2. The 2002-2003 report on Preferential Treatment in Department of Building Inspections
3. The 2003-2004 study on the merger of the Fire Department and Emergency Medical Services

### **III. PROCEDURE**

Multiple sources were used to ensure the information and data the Civil Grand Jury collected for the tracking document and the three investigative follow-ups were credible and valid. During the study the Civil Grand Jury:

- 1) Examined Civil Grand Jury reports and required responses for the years 2001-2005, the 2001-2005 Controller's Financial Audits, and the Mayor's Policy Pledge Index of 2006.
- 2) Reviewed documents identified in the three separate CGJ reports.
- 3) Interviewed individuals from the Mayor's Office, the Controller's Office, the Ethics Commission, the DBI and the DBI Commission, department heads, department members, members of the Board of Supervisors, neighborhood community members and agencies, and former Civil Grand Jurors.
- 4) Gathered information from the City website ([www.sfgov.org](http://www.sfgov.org)), the Internet, the *San Francisco Chronicle*, the *Examiner*, and corresponded with specific departments.

### **V. DISCUSSION**

#### **1) Civil Grand Jury Tracking Document**

A new and improved working relationship between the Mayor's Office, the Controller's Office and the Civil Grand Jury has been initiated. Through collaboration, changes have been implemented that should enhance the results of the work done by all three entities.

The development of a tracking document resulted from the meetings with the Mayor's Office, the Controller's Office, and the CGJ. This document is now in the initial phase of being reviewed and authenticated by the two city offices and will facilitate the determination of the status of responses to CGJ recommendations at any given time. The CGJ is confident that consistent use and updating of this document will improve accountability and improve the quality of services for the citizens of the City and County of San Francisco.

#### **Findings:**

- 1.1 The responses from the Mayor and the Controller to the 2004-2005 CGJ Continuity Report recommendations were positive.

- 1.2 Until recently, no coordinated process existed for the CGJ, the Controller's Office and the Mayor's Office to work together to monitor recommendations and responses.
- 1.3 Agreement with previous recommendations by departments is cited. However, the Continuity Report of 2004-2005 listed several examples where responses lacked specificity regarding implementation<sup>5</sup> and hence were not in compliance with Penal Code 933.05.
- 1.4 The Board of Supervisors is required to respond when recommendations address personnel or budgetary issues. Previous responses to CGJ recommendations have not:
  - a. Provided specific direction to those responsible for implementing recommendations, nor
  - b. Requested accountability from respondents.

**Recommendations:**

- 1.a The tracking document from the Mayor's Office and the Controller's Office should be put online. As a working document, it should be updated as new information becomes available.
- 1.b Develop and maintain a system to update progress on recommendations from material developed by the Civil Grand Jury, the Mayor's Office and the Controller's Office so that all parties are kept apprised of the progress of recommendations and whether they are:
  - (a) Fully implemented
  - (b) Still in process of being implemented
  - (c) Requires further study
  - (d) Abandoned because they are no longer relevant or feasible.
- 1.c The Board of Supervisors should hold an annual hearing on Civil Grand Jury recommendations that are still pending and are more than two years old.
- 1.d The Controller's Office and/or the Mayor's Office should provide information to the CGJ regarding scheduled City departmental meetings when topics related to past CGJ recommendations are part of the agenda.

**Required Responses:**

Mayor's Office – 60 days

Board of Supervisors – 90 days

Controller's Office – 60 days

Discussion of the three selected follow-up studies of previous Civil Grand Jury reports follows.

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<sup>5</sup> A Report of the 2004-2005 Civil Grand Jury for the City and County of San Francisco, "Continuity Report Released: June, 2005, PP. 10-11.

## 2) Hunters Point Naval Shipyard

|                                                                                                             |
|-------------------------------------------------------------------------------------------------------------|
| <p>Status of 2001-2002<br/>Civil Grand Jury Report:<br/><i>Hunters Point Naval Shipyard</i><sup>6</sup></p> |
|-------------------------------------------------------------------------------------------------------------|

Hunters Point Naval Shipyard was the subject of a report issued by the 2001-2002 Civil Grand Jury. The CGJ made four “action” recommendations at that time to ensure environmental safety, highlight needed economic development activities, and improve communications with the Bayview-Hunters Point (BVHP) community. The 2002-2003 CGJ Continuity Committee followed up on that report and determined that steps were underway to carry out all but one of the recommendations – “improving communication between the San Francisco Redevelopment Agency’s *Outreach Office* and other community organizations, particularly the *Window on 3rd Street*, and *Arc Ecology*, ‘a community based grass-roots organization for peace, environmental responsibility, a compassionate economy, and a just society in the San Francisco Bay Area, across the nation and around the world,’<sup>7</sup> and housing those three organizations in a guard house near the entrance to Hunters Point.”

*Arc Ecology* began monitoring the environmental impacts of the Hunters Point Shipyard in 1984. In 1986 Hunters Point neighborhood groups asked *Arc Ecology* to provide the community with on-going technical support. Since that time, *Arc Ecology* has been actively involved with providing BVHP residents with information resources and technical support around the cleanup, transfer, and redevelopment of the Shipyard.

After providing the BVHP with technical support around the Shipyard cleanup for almost two decades, *Arc Ecology* opened the *Community Window on the Hunters Point Shipyard Cleanup*, a community information clearinghouse. The project is dedicated to empowering the Bayview community with the information and resources needed to become meaningfully involved in the cleanup of the Shipyard. Through the *Community Window*, *Arc Ecology* hosts monthly environmental education discussions and community workshops. *Arc Ecology* also submits written comments to the U.S. Navy about the Navy’s activities to identify and clean up contamination at Hunters Point Shipyard.

Responses to the 2001-2002 CGJ report cited agreement with the recommendation to work on improving communication with the community. However, the 2002-2003 CGJ Continuity Committee concluded “that improved communication, as envisioned by the 2001-2002 Civil Grand Jury, has not been implemented. It is likely that the *Outreach Office* and *Window on 3d Street* need to be convinced that the community would be better served if three offices were housed at the same location.”<sup>8</sup>

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<sup>6</sup> Board of Supervisors: Status of the Implementation of the Recommendations of the 2001-02 San Francisco Civil Grand Jury July 10, 2003, pp.87-112

<sup>7</sup> <http://www.arcecolony.org/HuntersPoint.shtml> accessed May, 2006.

<sup>8</sup> Continuity Report, 2002-2003, San Francisco Civil Grand Jury



The focus of this follow up was limited to the “communication” issue presented in the 2001-2002 CGJ report since the other recommendations are well under way. The others have already been achieved.

Current information was obtained via attendance at a community meeting, an interview with a member of the Board of Supervisors, a visit to physical sites of each agency, conversations with the staff of *Arc Ecology* (also parent agency of *Community Window on the Hunters Point Shipyard Cleanup*), and conversations with the San Francisco Redevelopment Agency’s Outreach Office.

### **Findings:**

- 2.1 Physical relocations of agencies occurred between 2003 and 2006. The main *Arc Ecology* office, now on Third Street, is the parent organization for *Community Window on the Hunters Point Shipyard Cleanup* (formerly referred to as *Window on 3rd Street*). The San Francisco Redevelopment Agency’s *Outreach Office* is mainly responsible for assisting the Citizens’ Advisory Committee (CAC). Since the demolition of shipyard buildings near the guard gate area, temporary quarters (a trailer compound just inside the gate) houses the *Outreach Office* and the developer, Lennar.
- 2.2 The transfer of Parcel A from the Navy to the City occurred in 2004. Planning for its use, increased employment opportunities for local residents, and increased educational activities for the BVHP residents have subsequently occurred.
- 2.3 Community workshops are co-sponsored by *Arc Ecology* and the *Outreach Office*—the agencies of concern in the 2001-2002 CGJ report. Communication problems do not appear to be an issue today.
- 2.4 The agencies that were contacted, the *Outreach Office*, *Arc Ecology* and *Community Window on the Hunters Point Shipyard Cleanup* spoke with pride about their activities with and for the community. They described outreach activities that included educational forums, homebuyer workshops and progress reports on clean-up activities.

### **Recommendations.**

CGJ recommendations from the Hunters Point Shipyard Report of 2001-2002 have been addressed. The 2005-2006 Civil Grand Jury makes no additional recommendations.



### 3) Department of Building Inspections

#### Status of 2002-2003

#### Civil Grand Jury Report:

***Preferential Treatment Persists In a Department Marked by Political Pressures and a Leadership Void: Civil Grand Jury Report on the Management of the Department of Building Inspection.***<sup>9</sup>

The 2002-2003 CGJ Report entitled *Preferential Treatment Persists in a Department Marked by Political Pressures and a Leadership Void: Civil Grand Jury Report on the Management of the Department of Building Inspection* contained sixteen specific recommendations. The 2004-2005 CGJ Continuity Report indicated that five of the sixteen recommendations remained to be implemented as of June 2005. In two instances, the Department of Building Inspection (DBI) stated it did not understand the recommendation and could not respond. The following discussion focuses on those five recommendations, reflecting findings resulting from interviews with DBI, the DBI Commission, the Ethics Commission, DBI documents, and information from [www.sfgov.org](http://www.sfgov.org).

To address the recommendations not yet implemented, the new DBI Acting Director<sup>10</sup> is initiating a number of complex improvements simultaneously and in a comprehensive and proactive manner. While the Civil Grand Jury continues to have concerns related to the implementation of recommendations made in the 2003 report, the new DBI administration should be given a reasonable amount of time to make the necessary changes. We commend the Acting Director for her professionalism, the progress she has made, and her commitment to making DBI more transparent and more efficient.

Several positive changes are occurring. These include an upgrade of all the basic hardware to support new technology, new training programs, and improved coordination and communication within the department and with the public. As of April 2006, DBI has made substantial progress toward implementation of the following recommendation in the original report.

*Develop a bar-coding system to track permits and plans.*

The department has taken steps to replace the existing permit tracking system in its entirety and has evaluated systems in other jurisdictions. Additionally, DBI is in the process of overhauling its information systems infrastructure (expected to be completed in August 2006). This will put DBI in a position to support improved software and systems that better track permits and plans.

Four recommendations warrant continued monitoring by future Civil Grand Juries: (1) Implement a Code of Professional Conduct, (2) Purchase equipment to allow DBI inspectors to enter data remotely from the field, (3) Conduct random secondary field inspections, (4) Develop a "strategic plan" for DBI. Of these, the most critical is to:

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<sup>9</sup> Board of Supervisors: Status of the Implementation of the Recommendations of the 2002-03 San Francisco Civil Grand Jury, August 30, 2004, pp 173-200

<sup>10</sup> Charlie Goodyear, "Building Panel names Lee to Guide Inspections", *San Francisco Chronicle*, April 19, 2005.

## *1. Implement a Code of Professional Conduct.*

The Controller's Office developed "The Handbook for Professional Conduct" for the Department of Building Inspection in 2002 to "make DBI staff aware of the existing laws and policies which affect employees and provide guidelines that will ensure the public's trust is well-placed." The Code of Professional Conduct has four sections: Code of Professional Conduct (see Appendix B for example of pages 1 & 2) Guidelines, Policies Regarding Conduct, and Resources.

In 2003, voters adopted Prop E, which, among other things, requires all City departments, boards and commissions to develop a Statement of Incompatible Activities ("SIA"), identifying activities that conflict with the official duties of employees and officers. Under Prop E, the Ethics Commission must approve and adopt an SIA for each department.<sup>11</sup>

In February 2006, the San Francisco Department of Building Inspection and San Francisco Building Commission submitted a draft Statement of Incompatible Activities or SIA to be reviewed and approved by the Ethics Commission.<sup>12</sup> The SIA is intended to guide employees and officers of DBI and the Building Inspection Commission (BIC) on the types of activities that are incompatible with their public duties and therefore prohibited. The SIA serves as a companion guide to the Code of Professional Conduct for ethical behavior within DBI. A specific timeline for the review and approval of these documents has not been set by the Ethics Commission.

Once the Ethics Commission approves the SIA, the Acting Director of DBI will confer with the affected unions and develop a training program to ensure all employees are aware of the provisions of the "Code of Professional Conduct," the "Statement of Incompatible Activities," and all other appropriate rules and regulations governing the conduct of DBI employees. Finalizing these two documents is an important part of the effort to change the culture at DBI, a department that has been perceived as being unfair and/or under inappropriate influence, as noted in the Acting Director's May 3, 2006 letter to the Civil Grand Jury (See Appendix C).

There also is a one-page document entitled "Permit Processing Code of Conduct"<sup>13</sup> posted around the DBI offices (see Appendix D), which in itself is inadequate in providing clear guidance for the staff involved in processing building permit applications. Training of staff is needed for their cooperation in understanding what behavior is unacceptable, to systemize penalties for infractions, and to develop an approach to thoroughly educate and train DBI employees about expectations.

Although not mentioned in the 2002-2003 Civil Grand Jury Report, several people being interviewed for this report referred to community frustration with promises made but not kept regarding neighborhood concerns about new building projects. At times, there appears to have

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<sup>11</sup> This statement is adopted under the provisions of the San Francisco Campaign & Governmental Conduct Code section 3.218.

<sup>12</sup> [http://www.sfgov.org/site/uploadedfiles/ethics/conflictinterest/SIA\\_2\\_3\\_06\(2\).pdf](http://www.sfgov.org/site/uploadedfiles/ethics/conflictinterest/SIA_2_3_06(2).pdf), accessed May, 2006.

<sup>13</sup> Adopted by Ethics Commission January 10, 2005.



been poor communication between the Planning Department and DBI concerning agreements on things like set-backs and exterior building finishes and appearance. Sometimes agreements between the Planning Dept and neighbors got lost prior to or during actual construction. As an example, the plans might say the finish on the exterior wall is to "match existing" - which happens to be wood - but the contractor used stucco. The inspector approves the stucco because it meets code. The result of this apparent lack of communication also feeds into the negative perception of DBI. Adoption, implementation and enforcement of the "Code of Professional Conduct," the SIA, and the enhanced field technology could all help to mitigate mistakes and negative perceptions.

*2. Purchase equipment to allow DBI inspectors to remotely enter data from the field.*

The implementation of this recommendation is contingent upon finding a new permit tracking system that allows remote entry of data by DBI inspectors. Staff needs technical training in implementing the new quality control<sup>14</sup> and quality assurance<sup>15</sup> programs. In July 2005, an acting director was hired in the Information Technology Group and one of his tasks is to develop these training programs. A project manager has also been hired through DTIS to assist the department in moving forward in the permit tracking system overhaul.

*3. Conduct random secondary field inspections.*

DBI recently hired two analysts to assist in the development and implementation of two programs; 1) a quality control program to ensure that services are designed to meet customer requirements and expectations, and 2) a quality assurance program that ensures the services fulfill or exceed customer expectations. These programs will include, but not be limited to random secondary field inspections.

*4. Develop a "Strategic Plan."*

The Building Inspection Commission approved a Strategic Plan for DBI in June 2004. DBI submitted a summary of the Strategic Plan to the Board of Supervisors in its 2005-2006 Efficiency Plan (All City departments must submit an Efficiency Plan to the Mayor and the Board of Supervisors by October of each year).<sup>16</sup> One of the new analysts (hired in May) is responsible for updating and completing the strategic plan by November 1, 2006.

The Civil Grand Jury recognizes that the Acting Director of DBI faces several challenges and is taking positive steps to improve efficiency and professionalism in the department. Though not mentioned in the recommendations of the 2002-2003 Civil Grand Jury Report or the Continuity Report of 2004-2005, several additional issues needing attention came to light during

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<sup>14</sup> Definition: Inspection, analysis and action required to ensure quality of output.

<sup>15</sup> Definition: All those planned or systematic actions necessary to provide adequate confidence that a product or service is of the type and quality needed and expected by the customer.

<sup>16</sup>San Francisco Administrative Code 88.4 Efficiency Plans. The head of each department shall prepare and submit to the Mayor by October 1<sup>st</sup> and to the Board of Supervisors by November 1<sup>st</sup> a departmental efficiency plan. Each plan shall include a customer service element, a strategic planning element, an annual performance element, and a performance evaluation element for the previous fiscal year... the Plan shall cover a period of not less than three years forward from the fiscal year in which it is submitted.

our interviews and in the Acting Director's May 3, 2006 letter to the Civil Grand Jury (See Appendix C).

1. *Recruitment* - The department has had difficulty recruiting. This is partly due to cumbersome Civil Service hiring procedures and negative publicity surrounding DBI. Recruitment is also difficult because of lower pay rates than in the private sector. Positive steps have been taken however, and as of May 6, 2006 the department has filled 26 new positions and 20 DBI employees have been promoted.
2. *Empowering Decision-making* - There is a sense of uneasiness among many of the staff related to decision-making. This uneasiness seems based on the negative focus the Building Inspection Commission had on highlighting past staff decisions. As a result, employees are reluctant to make decisions to expedite the permit process. At the same time, the Department still suffers from negative press and poor public perceptions. The public is quick to blame DBI for any delay in the permit process even if it is due to actions of another agency. As of May 3, 2006, the Acting Director selected one employee to work full time on customer outreach and public relations in an effort to change the perceptions of DBI.
3. *Inherent City Bureaucratic Delays* - It is often difficult to make the necessary improvements because of bureaucratic delays.

*Example:* DBI's top choice for a vendor to conduct process assessment could not be selected because the vendor had reached its citywide salary cap. It took more than three months to find out that it would take even longer for the vendor's contract to be re-instated. After much delay, a second-choice vendor was hired.

*Example:* It took nearly eight months to hire a public outreach person, due to Civil Service procedures.

### **Findings**

- 3.1 DBI management plans to complete the new permit tracking system by August 2006.
- 3.2 DBI staff lacks technical skills necessary to implement the new permit tracking system and the quality control and quality assurance programs, including random secondary field inspection.
- 3.3 DBI hired a manager to be responsible for developing Information Technology training for all department staff.
- 3.4 The "Code of Professional Conduct" is in the process of being modified and has still not been implemented.
- 3.5 In February 2006, DBI submitted The Statement of Incompatible Activities (SIA) to the Ethics Commission but the Ethics Commission has yet to approve it.



- 3.6 DBI has hired two analysts as of May 3, 2006 to develop and implement quality control and quality assurance programs (see footnotes 12 & 13 for definitions).
- 3.7 DBI included a summary of its strategic plan, developed in 2004, in its 2005 Efficiency Plan submitted to the Mayor and the Board of Supervisors. An update to the plan is due to be printed by November 2006.

**Recommendations:**

- 3.a The Acting Director should set a timeline for meeting with officials of the affected unions and finalizing a draft of the policies and guidelines of the Code of Professional Conduct.
- 3.b The Statement of Incompatible Activities (SIA) should be approved by the Ethics Commission within the next 90 days. The Acting Director should then confer with the affected unions and develop and implement a training program for the DBI staff.
- 3.c The Mayor's Office and Board of Supervisors should stand behind the efforts of the Acting Director of DBI to ensure the improvements already in progress continue and the recommendations are implemented.

***Required Responses:***

Mayor's Office— 60 days

Board of Supervisors – 90 days

Department of Building Inspection (DBI) – 60 day

Department of Building Inspection Commission -60days

Ethics Commission – 60 days

#### 4) San Francisco Fire Department and Emergency Medical Services

**Status of 2003-2004  
Civil Grand Jury Report:  
*The Merger of Emergency Medical Services and the San Francisco Fire  
Department: A Match Made in Heaven or a Shotgun Wedding?*<sup>17</sup>**

Twenty-five recommendations were made in the CGJ report of 2003-2004 *The Merger of Emergency Medical Services and the San Francisco Fire Department: A Match Made in Heaven or a Shotgun Wedding?* All of the recommendations received responses. Review of the recommendations disclosed that 17 responses have been implemented, 5 were in process, and 3 were not applicable. The Controller's Financial Audit of August 2005<sup>18</sup> listed status updates for 15 of the recommendations.

Members of the Civil Grand Jury met with the Fire Chief regarding the current status of the 2003-2004 CGJ report. The San Francisco Fire Department (SFFD) is on track to complete every recommendation listed in the report. We have no additional recommendations. In our interviews, we did get an update on several recommendations and chose to add that information to this report. We thank the Fire Chief for her time, her openness, and her thorough understanding of the challenges that are still present. We commend her for her professionalism and for the progress the Fire Department has made since 2004. A synopsis of the information is included in the CGJ Tracking Document, a copy of which can be found at the end of this report.

##### **Findings:**

- 4.1 In answer to the question, "What has the Fire Department done to find more efficient mechanisms to deliver its services?" the Fire Chief said the new EMS configuration deployment plan of Emergency Medical Services (EMS) vehicles and staff will be done by area and time of day, based upon statistical analysis. The first dynamically deployed units will be on City streets in the latter half of 2006.
- 4.2 Continuing efforts are being made to communicate that EMS and the fire department are equal partners. On Treasure Island, EMS and fire suppression equipment and training equipment is now consolidated under one roof.
- 4.3 In June 2004, the Controller's Office made two recommendations concerning the delivery of EMS services by the Department. The Controller recommended: (1) the use of peak period staffing<sup>19</sup> and (2) the implementation of alternative staffing and shifts.<sup>20</sup> Both of these recommendations are being implemented as part of the Department's EMS Reconfiguration plan. Ambulances will no longer be stationed and will be flexible and moved around the City during peak period staffing.

<sup>17</sup> 2003-2004 Civil Grand Jury Report, City and County of San Francisco, California, released June, 2004.

<sup>18</sup> Board of Supervisors: Status of the Implementation of the Recommendations of the 2003-2004 San Francisco Civil Grand Jury, Financial Audits, August 30, 2005, pp1-91

<sup>19</sup> A Review of the San Francisco Fire-EMS-System, Office of the Controller, April 2004, pg.12.

<sup>20</sup> IBID, pg. 20

- 4.4 The Fire Chief was very aware of the problem of drug and alcohol abuse. She assured the Civil Grand Jury of her "zero tolerance" for on-duty use. She is very proud of the fact that San Francisco is the only county in the state to have a departmental substance abuse program. Random testing began in September of 2005. The goal is to test 25% of the force each year (this equates to 400 firefighters per year). To date, 120 members of the department have been tested and only one test has proven positive. The department has established an outreach program and a two-member stress unit to help identify and assist those members with drug and alcohol abuse problems.

**Recommendations:**

The Civil Grand Jury commends the Fire Chief for the progress she has made in the implementation of the CGJ recommendations put forth in its 2003-2004 report and recommends that she continues her work to this end.

## **GLOSSARY**

|            |                                                                                                                                                 |
|------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| ALS .....  | Advanced Life Support                                                                                                                           |
| BIC .....  | Building Inspection Commission                                                                                                                  |
| BVHP ..... | Bayview Hunters Point                                                                                                                           |
| CAC .....  | Citizens' Advisory Committee                                                                                                                    |
| CGJ .....  | Civil Grand Jury                                                                                                                                |
| DBI.....   | Department of Building Inspection                                                                                                               |
| DTIS.....  | Department of Telecommunications and Information Services                                                                                       |
| EMS .....  | Emergency Medical Services                                                                                                                      |
| SIA .....  | <i>Statement of Incompatible Activities</i> : Statement regulating activities that conflict with the official duties of employees and officers. |



## RESOURCES

### **Interviews with Representatives of:**

Community Representative from the Citizens' Advisory Committee  
San Francisco Department of Building Inspection  
San Francisco Department of Building Inspection Commission  
San Francisco Ethics Commission  
San Francisco Fire Department  
Mayor's Office, City & County of San Francisco  
Board of Supervisors, City and County of San Francisco  
Office of the Controller, City and County of San Francisco  
Office of Contract Administration, City & County of San Francisco  
International Federation of Professional and Technical Engineers, Local 21

### **Documents Referenced:**

*Mayor's Policy Pledge Index*, January 2006, accessed on March 6, 2006,  
[http://www.sfgov.org/site/uploadedfiles/mayor/press/1\\_19\\_06%20NewsomPolicyIndex.pdf](http://www.sfgov.org/site/uploadedfiles/mayor/press/1_19_06%20NewsomPolicyIndex.pdf).

May 2, 2005 Minutes of Building Inspection Commission (BIC) Meeting accessed on March 26, 2006, [http://www.sfgov.org/site/dbi\\_page.asp?id=31594](http://www.sfgov.org/site/dbi_page.asp?id=31594).

Board of Supervisors: Status of the Implementation of the Recommendations of the 2001-2002 San Francisco Civil Grand Jury, Financial Audits, July 10, 2003.

Board of Supervisors: Status of Implementation of the Recommendations of the 2002-03 San Francisco Civil Grand Jury, Financial Audits, August 30, 2004.

Board of Supervisors: Status of Implementation of the Recommendations of the 2003-04 San Francisco Civil Grand Jury, Financial audits, August 20, 2005.

Board of Supervisors Reports to Judge Dondero and Judge Hitchenson in response to Civil Grand Jury Reports 2003-2004.

### **Continuity Report Responses from:**

Planning Department, September 2, 2005  
Building Inspection Commission, November 1, 2005  
Office of the Mayor, September 12, 2005  
Office of the Controller, July 20, 2005

### **Civil Grand Jury Reports:**

2001-2002 City and County of San Francisco, California  
2002-2003 City and County of San Francisco, California  
2003-2004 City and County of San Francisco, California  
2004-2005 City and County of San Francisco, California

DBI Strategic Plan, final draft dated March 26, 2004.

The Statement of Incompatible Activities (SIA), draft March 31, 2006, accessed May 19, 2006, [http://www.sfgov.org/site/uploadedfiles/ethics/conflictinterest\\_/SIA\\_2\\_3\\_06\(2\).pdf](http://www.sfgov.org/site/uploadedfiles/ethics/conflictinterest_/SIA_2_3_06(2).pdf)

DBI Code of Professional Conduct, dated 2002

Redevelopment Plan for the Bayview Hunters Point Redevelopment Project, San Francisco Redevelopment Agency, Corrected Version March 27, 2006.

DBI Fiscal Year 2005 – 2006 Efficiency Plan, Oct 31, 2005.

#### **Newspaper Articles**

Sward, Susan, and Jaxon Vanderbeken, "Permit Official Faces Bribery Charges, District Attorney and FBI Probe S.F. Building Department, *San Francisco Chronicle*," August 5, 2005.

Fancher, Emily "Troubled Building Department Continues to Search for a Leader, *San Francisco Examiner*, August 8, 2005.

Vanderbeken, Jaxon and Todd Wallack, "New Details in Bribery Case Against S.F. Official Permit Manager Received Loan After Condo OKd, Papers Show," *San Francisco Chronicle*, August 22, 2005.

Wallack, Todd and Cecilia M. Vega, "Ethics a Perennial Issue at S.F. Agency Building Office Critics Say Influence Abused," *San Francisco Chronicle*, August 23, 2005.

Jouvenal, Justin "SFFD Starts Randomly Testing Firefighters," *The San Francisco Examiner*, September 26, 2005

Derbeken, Jason Van, "Fire Dept. Sued Over Alcohol Usage, Firefighters, Officers Want Action to Stem "Notorious" Abuse," *San Francisco Chronicle*, March 18, 2005.

Vanderbeken, Jason, "Firefighter Drug Test Leads to Hearing," *San Francisco Chronicle*, March 19, 2005.

#### **Correspondence with Members of:**

San Francisco Police Department

San Francisco Police Commission

San Francisco Adult Probation Department

Human Rights Commission

Department of Elections

San Francisco Recreation and Parks

Department of Planning

#### **Open Meetings Attended:**

Government Audit and Oversight Committee, October 17, 2005

## **Appendixes**

- Appendix A** Letter from Office of the Controller accompanied by a sample of the Office's Response form (2 pages)
- Appendix B** Sample from Department of Building Inspection "Code of Professional Conduct" (2 pages)
- Appendix C** Letter to the 2005-2006 Civil Grand Jury dated May 3, 2006 (4 pages)
- Appendix D** Department of Building Inspections Permit Processing Code (1 page)

## Appendix A



**CITY AND COUNTY OF SAN FRANCISCO  
OFFICE OF THE CONTROLLER  
FINANCIAL AUDITS DIVISION**

**Ed Harrington  
Controller**

**Monique Zmuda  
Deputy Controller**

**TO:**

**FROM:** Noriaki Hirasuna, Director, Controller's Financial Audits Division

**DATE:** March 20, 2006

**SUBJECT:** Responses to the Recommendations of the Civil Grand Jury

The Office of the Controller is required by Section 2.10 of the San Francisco Administrative Code to report on the status of the implementation of the recommendations of the San Francisco Civil Grand Jury (Civil Grand Jury). The Civil Grand Jury has further requested the Controller to report on each agree-to-be implemented recommendation until the respondent indicates it is fully implemented or abandoned because it is no longer reasonable or warranted. We will be issuing a report summarizing the findings and recommendations of the Civil Grand Jury reports, and the current status of the implementation of those recommendations.

California Penal Code Sections 933.05(a) and (b) requires the responding party to report for each recommendation of the Civil Grand Jury one of the following actions:

- 1) The recommendation has been implemented, with a summary of the implemented action.
- 2) The recommendation has not yet been implemented, but will be implemented in the future, with an anticipated timeframe for implementation.
- 3) The recommendation requires further analysis, with an explanation and the scope and parameters of any analysis or study; and a timeframe for the matter to be prepared for discussion by the officer or head of the agency or department being investigated or reviewed, including the governing body of the public agency when applicable. This timeframe shall not exceed six months from the date of publication of the grand jury report.
- 4) The recommendation will not be implemented because it is not warranted or it is not reasonable, with an explanation thereof.

We have identified the reports in which a Civil Grand Jury required responses from your department in fiscal years 2003-04 and/or 2004-05. Enclosed is a listing of the specific recommendations that includes your department. Please respond only to those recommendations directed to your department. Please send us your responses on the status of the implementation of those recommendations:

**No Later Than April 21, 2006**

We would appreciate it if you would attach your responses in an email to:

[Patti.Erickson@sfgov.org](mailto:Patti.Erickson@sfgov.org)

If you have any questions, please contact Winnie Woo at 415-554-7652.



# 2004-05 Civil Grand Jury Report:

What is the Difference Between a Contract and a Grant?

California Penal Code Sections 933.05(a) and (b) requires the responding party to report for each recommendation of the Civil Grand Jury one of the following actions:

| 1. Recommendation Implemented                         | 2. Will Be Implemented In the Future       | 3. Requires Further Analysis                                                                             | 4. Will Not Be Implemented: Not Warranted or Not Reasonable |
|-------------------------------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| - Date Implemented<br>- Summary of Implemented Action | - Anticipated Timeframe for Implementation | - Explanation<br>- Timeframe<br>(Not to exceed six months from date of publication of grand jury report) | - Explanation                                               |

For each recommendation below, indicate which action you have taken or plan to take and provide the required information.

| Recommendation | Responses Required From: | Response: 1, 2, 3, or 4 |
|----------------|--------------------------|-------------------------|
|----------------|--------------------------|-------------------------|

(The Civil Grand Jury indicated that the named departments should reply to those recommendations that are within their jurisdictions.)

|                                                                                                                                                             |                                                                     |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|--|
| 1. The Controller's Office and the City Attorney's Office should conduct an analysis of grants made from City funds ought to be—any legal or functional dis | Board of Supervisors<br>City Attorney's Office<br>Commission        |  |
| 2. The analysis by the Controller's Office whether or not all grants presently reported properly categorized as such.                                       | Board of Supervisors<br>City Attorney's Office<br>Commission        |  |
| 3. The City Attorney's Office should not unless existing policies are revised to properly revised, they must provide specific just                          | Board of Supervisors<br>City Attorney's Office<br>Commission        |  |
| 4. If there is a meaningful or functional grants, the Board of Supervisors should                                                                           | Board of Supervisors<br>City Attorney's Office<br>Commission        |  |
| 5. Such legislation should include Citywide procedures for the application and award process for grants.                                                    | Board of Supervisors<br>City Attorney's Office<br>Ethics Commission |  |

SAMPLE RESPONSE FORM

per:

Office of the Controller

March 20, 2006

## Appendix B

# DEPARTMENT OF BUILDING INSPECTION CODE OF PROFESSIONAL CONDUCT

Recognizing the public trust placed on individuals engaged in the administration and enforcement of building regulatory codes, the Department of Building Inspection is committed to the highest values and principles of professional conduct. For the benefit and guidance of department staff and for the enlightenment of the public we serve, these ideals and the standards that support them are characterized below in a Code of Professional Conduct. This Code is designed to support consistent adherence to high standards, foster mutual respect, help prevent misunderstandings and avoid circumstances that could have the appearance of less than responsible professional behavior.

## SERVICE

- I will convey the City's commitment to the public and generate customer confidence by being customer-centered, receptive, patient, and courteous.
- I will address customer concerns by providing information, recommending—when possible—a resolution, or by directing the customer to the appropriate person, division or other department for help.
- I will refrain from personal discussions with coworkers in the presence of customers.
- I will not allow personal opinions to affect the performance of my duties or how I represent department policies, staff or the codes we enforce.

## FAIRNESS

- I will not give preferential service in any component of my assigned duties.
- I will enforce compliance with building codes equally and neutrally for all customers regardless of relationship, special interest, political association, other affiliation or lack thereof.

## SAFETY

- I will place public safety and public interest above individual, group or special interests.
- I will uphold all building codes because they are designated to protect the lives and safety of the public and are dependent upon my judgments and decisions for enforcement.

## INTEGRITY

- I will demonstrate the highest standards of personal integrity in order to inspire public confidence and trust in City employees.

- I will not compromise the integrity of the permitting process by exceeding or appearing to exceed my authority; attempting to expedite plans or permits not assigned to me; providing unauthorized service outside of my area of responsibility; allowing extraordinary or unsupervised access to submitted plans or paperwork by any customer; or by asking others to do so.
- I will use my title or position only when conducting official City business or for informational purposes. In no case will I use my title or position to advance personal or political interests or secure advantage or favor for myself, my family or my friends.
- I will accept no gift, special favor, privilege, or benefit offered by a member of the public or by persons or businesses regulated by the department, doing business with the department or seeking to do business with the department for doing my job. When accepting a lawful gift, I will be aware that public perception may make a negative judgment of me or the department.

## **HONESTY**

- I will be truthful in communicating with customers and staff, do what I say I will do, and be dependable.
- I will express an opinion or offer a suggestion to customers only when it is based on informed practical experience and honest conviction based on the codes we enforce.
- I will depict facts and situations honestly and without bias when presenting a problem for resolution by another member of staff.

## **CONSISTENCY**

- I will enforce the codes and requirements in a consistent manner for all customers.
- I will maintain a consistent minimum standard for every customer where there is flexibility of requirement of the building code, and will support that standard throughout the department.
- I will work towards and support a consistent interpretation of codes that require interpretation throughout the department.

## **PROFESSIONALISM**

- I understand that I am a representative of the City and will set an example by conducting myself at all times to create respect for the City, the Department, and myself.
- I will be punctual and prepared for appointments and field visits.
- I will continue training to maintain my skills. I will stay current on policy and code changes. If required to be certified, I will maintain my certification to ensure compliance with law.
- I will make suggestions and participate in the improvement of the operations of the department to the best of my ability.



## Appendix C

CITY AND COUNTY OF SAN FRANCISCO  
DEPARTMENT OF BUILDING INSPECTION



GAVIN NEWSOM, MAYOR  
AMY LEE, ACTING DIRECTOR

May 3, 2006

Grand Jury 2005-2006  
400 McAllister Street, Dept. 206  
San Francisco, CA 94102

Dear \_\_\_\_\_

Please find below the Department of Building Inspection's latest update on the recommendations of the Civil Grand Jury. Please note that this transmittal updates the submission made on November 1, 2005 and March 2006 and includes only additions to the status of each recommendation. Where no additional information is available, we've noted that in our response.

**Recommendation #1: Develop a bar-coding system to track permits and plans.**  
We have completed our RFI (Request for Information) which will give us a better indication of software that is presently available for not just this function, but to entirely replace the existing Permit Tracking System. We have reviewed systems in other jurisdictions, including San Jose. We are in the process overhauling our information systems infrastructure which should be complete no later than August 2006. This will allow us to support improved software and systems that better track permits and plans.

**Recommendation #2: Purchase equipment to allow DBI inspectors to remotely enter data from the field.**

As with recommendation #1, implementation of this recommendation is contingent upon finding a new permit tracking system. Notwithstanding, we do not feel our inspectors are necessarily equipped to handle the technology involved in the use of handheld devices in the field. Our earlier pilot project in the Electrical Division showed us that a great deal of technology training, not just in the use of handheld devices, but training for the use of technology of all kinds, is required for DBI staff. We have recently hired (July 1, 2005) an acting director for our IT group and one of the tasks he has been given is to develop a training regimen for all department staff. In addition, we have also hired a project manager through DTIS to assist us as we move forward in our permit tracking system overhaul.

**Recommendation #3: Implement a Code of Professional Conduct**

DBI is well on the way to modifying its existing Code of Professional Conduct. Additionally, DBI is one of the first departments that submitted a draft Statement of Incompatible Activities (SIA) to the Ethics Commission for their review and approval. While it was submitted both to the Ethics and Building Inspection Commission, due to comments from the staff and public, both Commissions have asked that we incorporate the comments as much as possible. The challenge will be in finalizing a draft that is mutually agreed upon by all the parties. Once the SIA is approved, we will meet and confer with our affected unions and then develop a training regimen to ensure that all employees are aware of the provisions of the Code of Professional

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Email: Amy.Lee@sfgov.org



Conduct, the Statement of Incompatible Activities and all other appropriate rules and regulations.

**Recommendation #4: Conduct random secondary field inspections**

We will be interviewing and, hopefully, hiring two analysts to assist each of our programs in the development and implementation of quality control and quality assurance programs. These programs will include, but not be limited to, random secondary field inspections.

**Recommendation #5: Development of a strategic plan**

This recommendation is also waiting the hiring of the two analysts mentioned in the previous recommendation. To date, as of May 3, 2006, we have hired our analysts and they will start work May 22, 2006. I will assign one of the analysts to dedicate his entire time to update and print a final plan by November 1, 2006.

I understand the Grand Jury is anxious to see its recommendations implemented and I am committed to making this department more transparent and more efficient. I believe we have greatly improved both in the time I have been Acting Director, but I also know there is a long way to go. I have been asked by the members of the grand jury to identify challenges that this Department faces in making the necessary improvements that the public desires of DBI. They are as follows:

- Recruitment. In several classifications, we have had difficulty recruiting partly due to the limitation of the civil service classifications and procedures. For example, DBI utilizes "senior clerk typist" who the city qualifies based on how fast they type with no assessment of their communication and analytical skills. However, DBI utilizes these positions for sophisticated public contacts, intake of permits, input of permit data and associated paperwork, and general permit processing. All these functions rely more on their analytical and communication skills and less on the speed of their typing. Recruitment is also difficult not only because of the pay disparity from the private sector but also the negative publicity surrounding DBI which makes other city departments more attractive to work for than DBI.
- Empowering Decision-making. There remains a subconscious "fear" of decision-making in a large portion of staff. This "fear" is somewhat historical based on the negative focus the Building Inspection had on highlighting past staff decisions. It also stems from over scrutiny and quick to jump to negative conclusions about staff decisions. As a result, employees are reluctant to make decisions that will expedient the permit process.
- Public Image. The Department suffers from negative press and poor public perceptions. The public is quick to blame DBI for any delays in the permit process even if it is due to another agency, i.e., Planning or Fire since we are the permit issuing agency for all permitting departments. Most importantly, the Department needs to be perceived as a professional organization.
- Limited Office and Customer Space. We do not have sufficient space for staff to work or to improve our customer service. We are in the process of relocating Planning Department so that DBI can expand our office and customer space.
- Improve Management of Staff on All Levels. Overall improvement to management of DBI is necessary. Management related factors such as performance appraisals,

discipline, and time management should be improved. However, other "management" related factors such as team spirit, collaboration, empowering decision making, and employee incentives are equally important.

- Transitioning the culture of the Department. DBI has historically been under heavy political pressure whether from the politicians themselves such as the Mayor or Board of Supervisors but also from outside interest groups. It will take time to train the politicians and interest groups along with our employees to remove the politics out of the permit process and emphasize sound public policy decision-making.
- Inherent city bureaucratic delays. Similar to many departments, it is often difficult to make the necessary improvements and most often than not, there are always delays. For example, during the selection of a vendor to conduct process assessments, the top choice vendor could not be selected even though they were previously registered as a city store vendor, because they had reached their citywide contract cap. It took more than three months to find out that it would take even longer for them to reinstate their contract. After much delay, DBI turned to its second choice vendor to conduct the analysis. Another example is in the hiring process. It is the norm for most departments to get budget authority to hire someone new in October of each fiscal year. However, recruitment often takes nearly 6 to 12 months to hire. In the case of DBI hiring a public outreach manager, we were told we had to post the opening for at least two weeks only to find that there was a list. After sending out requests to interview to the candidates on the list (whose qualifications did not seem to meet DBI's needs), conducting the interviews and determining indeed, none of them met our needs, we had to "exhaust" the list before we could openly post the job announcement again. That process took nearly 5 months. After we posted the job again, we conducted a broad recruitment, held interviews and selected a candidate. That portion of the process took an additional 2 months. Now that we have selected the candidate, we have to post the position again for two weeks so that there are no protests to our selection. Cumulatively, the entire process took nearly 8 months!

Notwithstanding these challenges, the Department has embarked on making long lasting and foundation building improvements. Additionally, DBI has begun to make positive steps forward in facing our challenges head on:

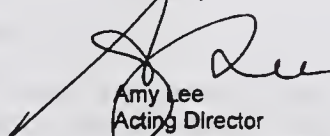
- ▶ Overhaul information systems infrastructure. To date, the Gartner Group has completed our process assessment and completed its recommendations on the implementation of an integrated citywide permit tracking system. We are set to conduct requests for proposals of this new system by the end of June 2006 and hope to select a vendor no later than October 2006. We have also finished signing lease agreements with HP to replace all of our IT hardware including all employees' desktop computers and monitors.
- ▶ Citywide Centralized Permit Tracking System. After extensive collaboration with the Planning, Assessor, Bureau of Street Use and Mapping, Fire, DTIS, Controller's Office, DBI, and to some extent, the general public users, we have completed our requirements and will have a draft request for proposal as listed above. Although the entire implementation may take up to 18 months or more, we have established interim milestones such as the Address Street Validation project to be delivered within 6 months to the date that a vendor is selected.

- ▶ 33 new budgeted positions with heavy recruitment of new employees and promotive opportunities for existing staff. To date, we have filled over 26 new positions and have also promoted over 20 DBI employees.
- ▶ Aggressive comprehensive training for all staff and making it a priority amongst our workload.
- ▶ Better coordination and communication with the Planning Department.
- ▶ Better collaboration and support from the Building Inspection Commission.
- ▶ Establishing a responsible Statement of Incompatible Activities.
- ▶ During the month of March 2006, we conducted 3 required training for staff to guide them on accurately completing their Form 700 Statement of Economic Interest.
- ▶ Updating the Code of Professional Conduct and drafting a "Code of Conduct for Permit Expeditors" to be published by June 2006.
- ▶ Recruiting a full time employee dedicated to customer outreach and public relations. As of May 3, we have selected our candidate.
- ▶ Expansion of DBI to the 4<sup>th</sup> and 5<sup>th</sup> floors of 1660 Mission Street.

I believe the operations of the Department to be dynamic and as such will continue to improve daily resulting in positive milestones ahead. It is what the staff wants and what the public is entitled to.

Should you have any questions or require additional information, please feel free to contact me at 558-6131.

Sincerely,



Amy Lee  
Acting Director  
Department of Building Inspection



## Appendix D

Sent By: DEPT OF BLDG INSP;

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### **DEPARTMENT OF BUILDING INSPECTION**

City and County of San Francisco  
1660 Mission Street, San Francisco, California 94103-2414

#### **PERMIT PROCESSING CODE OF CONDUCT**

(adopted by Ethics Commission January 10, 2005)

##### *Preamble*

The people of San Francisco are entitled to fair and equitable processes for the review and approval of permit applications by City departments. To this end and pursuant to section 3.400(c) of the San Francisco Campaign and Governmental Conduct Code, the Ethics Commission adopts this Permit Processing Code of Conduct to guide the Department of Building Inspection, the Planning Department and the Department of Public Works, and members of the public who use their services.

##### *For the Staff*

As an employee or officer working on matters related to permits issued by the Department of Building Inspection, the Planning Department or the Department of Public Works, I will be honest in my dealings with permit applicants, permit consultants, members of the public and my colleagues. I will enforce compliance with Building, Planning and Public Works Codes and requirements in a consistent manner.

##### *For the Public*

I will be sensitive to the fact that officers and employees of the City must adhere to laws and rules that govern their conduct and I will respect their procedures. I will provide full, clear and accurate information to the officers and employees of the City.



2005-2006 Civil Grand Jury  
City and County of San Francisco

Continuity Report

Tracking Chart of CGJ 2001-2003 Reports  
and 2003-2004 SFFD Report

June 2006

The Continuity Committee of the 2005-2006 Civil Grand Jury (CGJ) developed a chart to track the recommendations of past CGJ reports. Oftentimes, after the initial responses of the affected departments are submitted, the reports are forgotten. This chart attempts to provide a quick follow-up to the CGJ reports of 2001-2002, 2002-2003, and the single 2003-2004 report on the San Francisco Fire Department. We monitored only the recommendations involving the primary City departments affected. The Initial Responses are from the Controller's Audits. We provided comments to the reports, which may be helpful for future civil grand juries. In addition, we are working with the Controller's and Mayor's Offices to develop a more thorough chart that tracks the recommendations of all the affected departments from 2001 to the present. We are grateful for their cooperation in the development of both of these charts, and look forward to further collaboration.

## 2005-2006 Civil Grand Jury Tracking Chart of CGJ 2001-2003 Reports and 2003-2004 SFFD Report

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|---------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2003 - 2004                                 | The Merger of Emergency Medical Services and the San Francisco Fire Department: Match Made in Heaven or Shotgun Wedding?                                       |                                                                                                                                                                                                                                                                           |                          |                                                                                                                                                                                                                                                                                                                          |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1a. SFFD and DPH should establish specific criteria for measuring the success of the merger. They should determine the steps necessary to complete the merger. | 1a. Disagree in part. The Department and this Administration see the 'merger' as being complete. However, as the Department moves forward, it constantly searches for more efficient mechanisms to deliver to its critical services.--SFFD                                |                          | 1a. The Department sees the merger as being complete. Deployment of EMS vehicles and staff by area and time of day based upon statistical analysis is being phased in. At the present time 21 of 42 Engines have Advanced Life Support capability. The goal is to have all engines with ALS by 2007.--SFFD to CGJ, 12/05 |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1b. Once criteria and timelines are established, the Chief and the Fire Commission should be held accountable by the Mayor for achieving them.                 | 1b. Disagree. See Recommendation 1a.--SFFD                                                                                                                                                                                                                                |                          | 1b. The Department sees the merger as being complete.--SFFD to CGJ, 12/05                                                                                                                                                                                                                                                |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1c. The Mayor should appoint a health professional, preferably one with Emergency Medical Services experience, to the Fire Commission.                         | 1c. Sections 3.100 and 4.108 of the San Francisco City Charter confer exclusive Commission appointment privileges to the mayor of the City and County. The Department would welcome the opportunity to work with the Mayor's Office to realize this recommendation.--SFFD |                          |                                                                                                                                                                                                                                                                                                                          |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1d. The Fire and Health Commissions should meet jointly at least quarterly for better oversight of SFFD EMS.                                                   | 1d. Both Commissions receive regular updates and reports. The Chief and the Director of Public Health meet regularly to discuss any issue that might impact the provision of EMS in San Francisco.--SFFD                                                                  |                          |                                                                                                                                                                                                                                                                                                                          |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1e. Department leadership should define and communicate the                                                                                                    | 1e. Agree. This Administration communicates its values, and those of the Department, by words and actions, on a daily basis. EMS,                                                                                                                                         |                          | 1e. To communicate to all that EMS is an equal partner, physical integration for EMS and fire suppression is at one location. The entire department                                                                                                                                                                      |

| Year / Report                               | Recommendations                                                                                                                                                              | Initial Responses                                                                                                                                                                                                                                                               | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                             | values of the department so that EMS is seen to be at least as important as fire suppression.                                                                                | suppression, prevention and training are all equally important and valuable to carrying out the Mission of the Department.--SFFD                                                                                                                                                |                          | has daily training, including medical. The entire force has formal training 5-6 times a year.--SFFD to CGJ, 12/05                                                                                                                                                                                                     |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 1f. Given that most alarms are false and those that are not are medical in nature, SFFD should respond with appropriate staff and equipment.                                 | 1f. Disagree. Until proven otherwise, every alarm is a true emergency. The Department currently responds, and will continue to respond, with all necessary apparatus and personnel, as determined by the Chief of Department and her Command Staff.--SFFD                       |                          |                                                                                                                                                                                                                                                                                                                       |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 2. Department Leadership should confront the commonly held perception that Local 798, rather than the Chief, is "running the department."                                    | 2. Disagree. Chief Joanne Hayes-White and the current Command Staff is committed to providing, and has already displayed, the strong leadership necessary to facilitate change and promote the accountability and professionalism throughout the ranks of the Department.--SFFD |                          | 2. There is a good working relationship with the Local. Fire chief commented she has not heard any public comment on this subject in the past twelve months.--SFFD to CGJ, 12/05                                                                                                                                      |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 3a. Resource allocation and staffing should reflect the Department's change in workload from fire suppression to EMS.                                                        | 3a. Disagree. The Department's workload is reflective of the demands that the public places on its resources.--SFFD                                                                                                                                                             |                          |                                                                                                                                                                                                                                                                                                                       |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 3b. The Mayor, Board of Supervisors and the Fire Commission should direct and support the Chief in making resource allocation changes that properly support the EMS mission. | 3b. The Chief works collaboratively with the Mayor, the Board of Supervisors and the Fire Commission.                                                                                                                                                                           |                          | 3b. The EMS mission is being reconfigured. People are going from 24 hour shifts to 10 hour shifts. This goes along with the dynamic deployment of ambulances services. Ambulances will no longer be stationed at fire houses. They will be flexible and moved around during peak period staffing.--SFFD to CGJ, 12/05 |



| Year / Report                               | Recommendations                                                                                                                                                                                                         | Initial Responses                                                                                                                                                                                                                                                                      | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                              |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 3c. The Board of Supervisors mandated the review of SFFD recently conducted by the Controller's Office. The Board should now act on and direct the Chief to implement the recommendations.                              | 3c. The Department is committed to implementing any change that promotes efficiency without compromise to operational readiness and ability to deliver service. The Controller's report, as is any audit or report of an organization, is a tool for the management of that agency.    |                          |                                                                                                                                                                                                                                                                     |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 4a. Recruitment and retention of firefighter/paramedics is a critical problem that needs immediate attention.                                                                                                           | 4a. Agree. The number of Firefighter/Paramedics will be determined by any changes in deployment and configuration.--SFFD                                                                                                                                                               |                          |                                                                                                                                                                                                                                                                     |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 4b. Officers should be cross-trained as well as rank and file firefighters. Officers who are already cross-trained should continue their paramedic licensure and use their paramedic skills in their command positions. | 4b. Agree. Matriculation through the ranks by Firefighter/Paramedics will occur naturally as promotional exams are given. Evidence can be found in all departments (i.e. LA County, San Diego, etc.) where Paramedic level EMS has been a long standing component of operations.--SFFD |                          |                                                                                                                                                                                                                                                                     |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 4c. Alleviation of heavy ambulance workloads should be addressed as soon as possible. The necessity for a 24-hour ambulance shift should be reviewed as well as other options for transporting patients.                | 4c. Agree. Formulating an action plan to address ambulance workload is a main component of the Reconfiguration Task Force.--SFFD                                                                                                                                                       |                          | 4c. By the end of 2007, new equipment and new configurations will be complete so that the most effective configuration of resources will be deployed to each call for service. Money is in the 2006-2007 budget for equipment and 75 new hires.--SFFD to CGJ, 12/05 |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 5a. Department leadership should identify the stations where harassment is occurring. Those engaging in harassing behavior should be                                                                                    | 5a. Should evidence become available, and should this finding be substantiated, this Administration will move swiftly and decisively to address the allegations. This Administration has zero tolerance for harassment of any kind and is                                              |                          | 5a. Complaints are always investigated. Boundaries are clearly articulated.--SFFD to CGJ, 12/05                                                                                                                                                                     |

| Year / Report                               | Recommendations                                                                                                                                                                                                                                             | Initial Responses                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                             | appropriately disciplined.                                                                                                                                                                                                                                  | obligated to provide a safe and supportive workplace. SFFD                                                                                                                                                                                                                                                                                                                                                                                                                            |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 5b. Ranking officers should be held accountable for their actions or inaction related to harassment.                                                                                                                                                        | 5b. See 5a.                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                          | 5b. Complaints are always investigated. Boundaries are clearly articulated.—SFFD to CGJ, 12/05                                                                                                                                                                                                                                                                                                                                                     |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 5c. The Fire Commission should hold Department leadership accountable for eliminating harassment.                                                                                                                                                           | 5c. Harassment of any kind and for any reason is not tolerated by this Department.                                                                                                                                                                                                                                                                                                                                                                                                    |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 6. The Department should provide comprehensive and command training for all officers prior to their assumption of command. Periodic training should emphasize professionalism, responsibility, and accountability and be given on a regular, ongoing basis. | 6. The roles and responsibilities of the officer-as-supervisor have changed dramatically over the years. At one time, a supervisor just needed to be respected by their peers to perform adequately. The role of the supervisor has evolved dramatically. Today, a successful supervisor in the Fire Service must not only understand and know operations and tactics about a broad scope of potential challenges, but be well versed in modern management and personnel theory.—SFFD |                          | 6. Comprehensive leadership and command training, management and supervisory classes were held for members accepting provisional promotions into the officer ranks. A curriculum has been designed for each officer level.—SFFD to CGJ, 12/05                                                                                                                                                                                                      |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 7a. Department leadership should develop and submit secondary promotional criteria to the Civil Service Commission for approval as soon as possible, even though there is a legal appeal in process.                                                        | 7a. The Chief is working closely with the Civil Service Commission and employee groups to develop meaningful and measurable secondary criteria.—SFFD                                                                                                                                                                                                                                                                                                                                  |                          | 7a. Through the provisional appointment process four new appointments have been made, each for a three-year period. The department looks forward to a resolution between the Civil Service Commission and Local 798 regarding the promotional certification rule, but there is a communication breakdown related to promotional criteria—an issue presently in the courts. As of April 2006, there was hope of a certification rule in the next 90 |

| Year / Report                               | Recommendations                                                                                                                                                                                        | Initial Responses                                                                                                                                                                                                                                                                       | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                               |
|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 7b. The Mayor should investigate why promotional examinations have not been given in SFFD and determine what the financial ramifications are.                                                          | 7b. Chief Hayes-White works collaboratively with the Mayor's Office on all Department related issues.--SFFD                                                                                                                                                                             |                          | days.--SFFD to CGJ. 12/05<br>7b. See 7a.                                                                                                                                                                                                                                                             |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 7c. The Mayor should investigate why the Civil Service Commission implemented a new certification rule that neither management nor labor want.                                                         | 7c. The Department continues to work with the Mayor's Office in an effort to provide updates related to the development of a timeline for administration of promotional examinations.--SFFD                                                                                             |                          | 7c. Still in the courts.--SFFD to CGJ, 12/05                                                                                                                                                                                                                                                         |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 8a. The Department needs to determine the extent of on-duty alcohol consumption and substance abuse among Department personnel as soon as possible.                                                    | 8a. Agree.--SFFD                                                                                                                                                                                                                                                                        |                          | 8a. The SFFD has a "zero tolerance" policy on drug use. San Francisco is the only county in the state to have a substance abuse program. Random testing began September 2005. The goal is 25% of the force each year. To date 120 members have been tested; one proved positive.--SFFD to CGJ, 12/05 |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 8b. The Department should negotiate for expanded and random drug and alcohol testing as soon as possible.                                                                                              | 8b. The MOU with IAFF Local 798 provides a provision for random drug testing. The testing program will begin in October of this year.--SFFD                                                                                                                                             |                          | 8b. See 8a.                                                                                                                                                                                                                                                                                          |
| 2003 - 2004<br>Merger of<br>EMS<br>and SFFD | 8c. The Department should establish an Internal Investigation Unit that reports directly to the Chief. Investigators trained in identifying people who are under the influence should staff this Unit. | 8c. The Internal Services Bureau of the Department is the primary investigative authority for internal Department matters. This Administration has already displayed its willingness and resolve to take whatever action is necessary and appropriate to address these internal issues. |                          |                                                                                                                                                                                                                                                                                                      |
| 2003 - 2004                                 | 8d. The Department                                                                                                                                                                                     | 8d. Agree. A stronger and clearer                                                                                                                                                                                                                                                       |                          | 8d. The program has been                                                                                                                                                                                                                                                                             |



| Year / Report                                                                                   | Recommendations                                                                                                                                                                                                                                              | Initial Responses                                                                                                                                                       | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                 | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                    |
|-------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Merger of EMS and SFFD                                                                          | needs to implement a strong, clear and effective drug policy.                                                                                                                                                                                                | drug and alcohol policy has already been implemented.--SFFD                                                                                                             |                                                                                                                                                                                                                                                                          | implemented.--SFFD to CGJ, 12/05                                                                                                                                                                                                                                                                                                          |
| 2003 - 2004 Merger of EMS and SFFD                                                              | 8e. The Department should institute an outreach program to help identify and refer for treatment those members with alcohol and substance abuse problems.                                                                                                    | 8e. Agree. Outreach to Department members is a component of the new alcohol and drug policy.--SFFD                                                                      |                                                                                                                                                                                                                                                                          | 8e. Two members are trained for this job. They also go to fire stations to debrief events when there has been a particularly stressful event.--SFFD to CGJ, 12/05                                                                                                                                                                         |
| 2003 - 2004 Merger of EMS and SFFD                                                              | The Fire Department is on track for implementing the recommendations of the CGJ 2003-04. We see no reason to make any further recommendations. See the 2006 CGJ Continuity Report for more specific information on findings.-- CGJ 2005-06<br><u>Comment</u> |                                                                                                                                                                         |                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                           |
| 2003 - 2004 The Merger of EMS and the SFFD END                                                  |                                                                                                                                                                                                                                                              |                                                                                                                                                                         |                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                           |
| 2002 - 2003 Tolerating Truancy - Inviting Failure: the SFUSD Fails to Enforce School Attendance |                                                                                                                                                                                                                                                              |                                                                                                                                                                         |                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                           |
| 2002 - 2003 Truancy--SFUSD                                                                      | 1a. Appoint a Supervisor of Attendance.                                                                                                                                                                                                                      | 1a. SFUSD appointed Susan Wong as a Supervisor of Attendance to supervise and coordinate attendance and enforcement.--SFUSD                                             | 1a. A substantial amount of progress on these recommendations has since been made. The District has conducted a comprehensive overhaul in its process of monitoring and addressing truancy in San Francisco.<br>SFUSD now has a Supervisor of Attendance.--CGJ 2004-2005 | Department of Children, Youth and Their Families funds 1.0 FTE that works 1/2 time as Truancy Coordinator and \$250,000 per year for Truancy program. Additional funding of \$395,000 was allotted for high school and middle school re-entry programs, mediation and public education in FY 04-05.-- Mayor's (Newsom) Policy Index, 1/06 |
| 2002 - 2003 Truancy--SFUSD                                                                      | 1b. Commence Truancy Accounting.                                                                                                                                                                                                                             | 1b. District required truancy accounting/record-keeping in 2003--SFUSD                                                                                                  |                                                                                                                                                                                                                                                                          | The truancy program was launched and school attendance is slowly increasing. A functional advisory board was created. There are attendance liaisons in 9 schools and the program is coordinating with the District Attorney's office. --Mayor's Policy Index, 1/06                                                                        |
| 2002 - 2003 Truancy--SFUSD                                                                      | 1c. Instruct District School Staff on Truancy Reporting Requirements.                                                                                                                                                                                        | 1c. Attendance and personnel at all sites will be trained on the truancy reporting elements required by the State and Board of Ed. All principals, vice principals, and | 1c. SFUSD has standardized all truancy procedures.--CGJ 2004-2005                                                                                                                                                                                                        | At SFUSD, we're helping to solve the truancy problem with a major effort to raise the average daily attendance of each public school. Already, the program is showing some success.                                                                                                                                                       |



| Year / Report                    | Recommendations                                        | Initial Responses                                                                                                                                                                                                                                                                                                                                       | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                            | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                               |
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|                                  |                                                        | attendance clerks will be trained.--SFUSD                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                     | The District has teamed up with the city, community agencies and corporations to reach out to at-risk students, connect them to support services during and after school and routinely review their academic progress and attendance.--SFUSD, 2005                                                                   |
| 2002 - 2003<br>Truancy—<br>SFUSD | 1d. Create<br>Computerized<br>Database                 | 1d. District Information Tech Dept prepares all the attendance reports and programs for the District. That permits the Supervisor of Attendance and other staff responsible for student attendance to determine truanancies, irregular attendance instructional days missed due to truancy. Information summarized by classes, grades, schools. --SFUSD |                                                                                                                                                                                                                                                                                     | In addition, the District is emphasizing with parents the connection between regular school attendance and getting good grades, encouraging them to visit schools and become involved by asking parents to monitor attendance and contacting the school which in turn make education a family priority.--SFUSD, 2005 |
| 2002 - 2003<br>Truancy—<br>SFUSD | 2a. Send Truancy<br>Notices Promptly                   | 2a. School personnel will send truancy notices with content specified by state law promptly. Forms were translated into English, Chinese, Spanish. --SFUSD                                                                                                                                                                                              | 2a. According to the District's Pupil Services Department, a process will be implemented shortly to ensure that the District will mail its truancy notices on time and thereby reduce its truancy rate and promptly capture the State funding to which it is entitled.--CGJ 2003-04 | Through the collaborative efforts of home, schools, and the community, a greater contribution can be made to keep students in school regularly so that they can learn the skills necessary to become self-reliant, productive citizens.--SFUSD, 2005                                                                 |
| 2002 - 2003<br>Truancy—<br>SFUSD | 2b. Seek State<br>Reimbursement for<br>Truancy Notices | 2b. District will seek state reimbursement for truancy notices by having sites keep a record of every truancy letter sent to parents. Mandated costs reimbursements will be submitted to state. --SFUSD                                                                                                                                                 | 2b. SFUSD is seeking reimbursement from State for truancy notices to students.--CGJ 2004-2005                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003<br>Truancy—<br>SFUSD | 2c. Schedule Truancy<br>Conferences.                   | 2c. School sites will schedule a parent conference upon the third truancy. --SFUSD                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                      |

| Year / Report                    | Recommendations                                                                                                                                           | Initial Responses                                                                                                                                                                                                    | CGJ 2002-2005 Follow-ups                                                            | CGJ 2005-2006 Findings |
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| 2002 - 2003<br>Truancy—<br>SFUSD | 2d. Seek State Reimbursement for Truancy Conferences.                                                                                                     | 2d. District will seek reimbursement for eligible costs associated with SST/SARB teams and submit requests to the state.--SFUSD                                                                                      |                                                                                     |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 2e. Establish Attendance Review Board.                                                                                                                    | 2e. In 2004 a SARB was established to hear truancy cases.--SFUSD                                                                                                                                                     | 2e. SFUSD has established Student Attendance Review Teams and Boards. --CGJ 2004-05 |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 3. Establish a Non-Punitive Truancy Mediation Program.                                                                                                    | 3. District has a non-punitive truancy mediation program that operates from the Pupil Services Dept. Stay in School Coalition determined that the program could be expanded further to include city partners.--SFUSD | 3. SFUSD is working with DA to find alternatives to juvenile hall.--CGJ 2004-05     |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 4a. Authorized the Supervisor of Attendance to Initiate Superior Juvenile Court Referrals to the DA or Chief Probation Officer.                           | 4a. District has not reached agreement with the Courts, Probation Dept. or DA's office regarding court referrals.--SFUSD                                                                                             |                                                                                     |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 4b. Do not remove student from enrollment until it determines that the student does not reside in San Francisco.                                          | 4b. District does not drop students from enrollment without first determining that the student has moved out of district.--SFUSD                                                                                     |                                                                                     |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 5. Increase the number of school resource officers.                                                                                                       | 5. Agree, but SFPD does not have the funds/resources to accomplish this. They will continue to apply for grants to support this program.--SFPD                                                                       |                                                                                     |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | 6. The School District should improve attendance incentives.                                                                                              | 6. District will provide awards for excellent student attendance using Mission High School awards programs as a model.--SFUSD                                                                                        | 6. SFUSD issues awards to students for attendance.--CGJ 2004-2005                   |                        |
| 2002 - 2003<br>Truancy—<br>SFUSD | The SFUSD is doing its role in combating what is a serious national problem--truancy. An investigation at this time is unwarranted.-- CGJ 2005-06 Comment |                                                                                                                                                                                                                      |                                                                                     |                        |

| Year / Report                                    | Recommendations                                                       | Initial Responses                                                                                                                                                                                                                                                                                                                                        | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                                                                                                  | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                    |
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| 2002 - 2003                                      | Improving SFPD's Cooperation with the OCC: Beating the One Year Clock |                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                           |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 1a. Provide Additional Training on OCC Notices                        | 1a. Agrees and will include training in DGO2.04 and prompt handling of MRFs in risk Management offices presentation during Academy training of Officers in fall 2003. The dept will continue to address issues in Bulletins. Dept. will meet/confer with SFPOA about amendment to Dept. General Order 2.04.--SFPD                                        | New leadership, which bodes well, was instituted: a new head of the OCC was hired; a new police chief was appointed and a new Police Commission was sworn in. Additionally, an ordinance was enacted (Chapter 96 of the San Francisco Administrative Code) which codified responsibilities and duties of the Police Department, the Police Commission and the OCC in the timely handling and reporting by citizens of police misconduct. -- CGJ 2003-2004 | 1a. Clarification and reinforcement of responsibilities to complete Member Response Forms are being revised as part of amendment(s) to Department General Order 2.04.--SFPD to CGJ, 3/06                                                                                                                                  |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 1b. Track Status of OCC Requests                                      | 1b. Dept / OCC have signed a protocol addressing the release of documents. The Dept's Planning Division is creating a tracking system. The Legal division created a database to record OCC requests. Dept reports on quarterly basis to Police Commission. Report includes number of requests, number of extensions sought, and number of denials.--SFPD | 1b. The ordinance (Chapter 96 of the SF Administrative Code) requires that the status and disposition of sustained complaints be made public and that instruction on the OCC's processes and procedures for investigating citizen complaints be required for officers and police commissioners.--CGJ 2003-2004                                                                                                                                            | 1b. In November 2003, the City's Department of Telecommunications and Information Services (DTIS) developed a program in Microsoft Access to track all OCC complaints received by the Legal Division. Since this time, the Legal Division has tracked all requests that are received in this database.--SFPD to CGJ, 3/06 |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 1c. Impose Discipline for Failing to Comply With OCC Requests         | 1c. SFPD treats violations as misconduct. First instances of failure to comply with OCC requests are normally settled with written reprimands, unless there is documented history of Neglect of Duty.--SFPD                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 1c. The document "Office of Citizen Complaints Failure to Appear" reflects increased discipline from the year 2000 to 2005 but also shows a decrease in number of failures to appear cases.--SFPD to CGJ, 3/06                                                                                                            |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 2a. Promptly Review Documents for Routine Release                     | 2a. A protocol guiding the OCC/police dept. was issued in 2003.--SFPD                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 2a. The Police Department Legal Division promptly reviews written requests for documents sent to the Legal Division. These OCC requests are logged into the database and given to an employee to begin the                                                                                                                |



| Year / Report                                    | Recommendations                                                                             | Initial Responses                                                                                                                                                                                                                   | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                   |
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|                                                  |                                                                                             |                                                                                                                                                                                                                                     |                          | process of retrieving the requested documents.--SFPD to CGJ, 3/06                                                                                                                                                                                                                                                                                                                                                        |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 2b. Meet Within 60<br>Days to Consider Other<br>Documents That May<br>Be Routinely Released | 2b. The protocol signed July 2003<br>considers all facets of this<br>recommendation.--SFPD                                                                                                                                          |                          | 2b. The Police Department in<br>conjunction with the Office of Citizen<br>Complaints has developed a protocol<br>for handling all requests for<br>documents by the OCC. Included in<br>this report are any recommendations<br>by either the Police Department or<br>OCC, which would include any<br>documents that the OCC believes<br>should be added to the "Routine"<br>document request list.--SFPD to CGJ,<br>3/06. |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3a. Update Pending<br>Cases Database                                                        | 3a. Currently working with<br>DTIS/OCC to develop a tracking<br>system.--SFPD                                                                                                                                                       |                          | 3a. Currently, the Police department<br>conducts internal checks. DTIS has<br>not yet resolved all issues related to<br>the database.--SFPD to CGJ, 3/06.                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3b. Produce a Monthly<br>List of OCC<br>Investigations                                      | 3b. First monthly list of investigation<br>due Aug. 2003. Recommendation<br>incorporated into the Management<br>Control Division's Units Orders.<br>Monthly list forwarded by<br>Management Control Dept. to<br>Police Chief.--SFPD |                          | 3b. As required by San Francisco<br>Administrative Code Section 96, the<br>Police Department provides monthly<br>status reports on its website regarding<br>pending cases and resolved cases.<br>As required by Police Commission<br>resolution, the Police Department<br>provides similar information regarding<br>Management Control cases on its<br>website.--SFPD to CGJ, 3/06.                                      |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3c. Schedule Monthly<br>Meetings With OCC                                                   | 3c OCC Director and Management<br>Control Division have met and have<br>created a tracking system that can<br>be accessed by the OCC/MCD.--<br>SFPD                                                                                 |                          | 3c. The Police Department meets<br>frequently with the OCC.--SFPD to<br>CGJ, 3/06.                                                                                                                                                                                                                                                                                                                                       |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3d. Revise Policy for<br>One-Year Limit                                                     | 3d. Dept. has made extreme effort<br>to ensure no internal affairs case is<br>dismissed due to statute of<br>limitations.--SFPD                                                                                                     |                          | 3d. Policy is controlled by state law<br>pursuant to California Government<br>Code Section 3304.--SFPD to CGJ,<br>3/06.                                                                                                                                                                                                                                                                                                  |



| Year / Report                                    | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Initial Responses                                                                                                         | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3e. Exercise Greater Oversight of Civilian Complaint                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 3e. Dept reports to Commission if it dismisses an internal affairs investigation because of statute of limitations.--SFPD |                          | 3e. The Police Commission adopted its Resolution 97-04 on November 17, 2004, requiring additional reporting by the OCC on the status of its investigations and the caseloads of its investigators. --SF Police Commission to CGJ, 4/06<br><br>One of OCC's biggest impediments has been the Police Department. It has been slow to cooperate with the Office of Citizen Complaints' investigators. And it frequently has failed to act against officers the agency found guilty of misconduct. --SF Chronicle, 2/8/06 |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | 3f. Adopt rules and procedures mandating reports on OCC investigations                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 3f. The Department tracks any sustained cases submitted to it by the OCC per chapter 96 of the CCSF Admin. Code--SFPD     |                          | 3f. The Commission has made several suggestions for improvements after reviewing the first such reports (see 3e above). Furthermore, the Commission also required a more detailed description of the nature of each complaint, without violating any personnel file protections. --SF Police Commission to CGJ, 4/06                                                                                                                                                                                                  |
| 2002 - 2003<br>SFPD's<br>Cooperation<br>With OCC | A performance audit by the Controller's Office of the OCC and its director was approved by the Police Commission on 5/3/06, and the report is expected to be available in early summer 2006, after this CGJ's term expires. The CGJ 2005-06 endorses the conducting of this audit and suggests that a future CGJ follow up on this audit. A series of critical newspaper articles of the OCC and the SFPD provide further information for a continued investigation. See "The Use of Force," SF Chronicle, 2/8/06.--CGJ 2005-06 Comment |                                                                                                                           |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 2002 - 2003                                      | Improving SFPD's Cooperation with the OCC    END                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                           |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 2002 - 2003                                      | SFPD Not in Compliance with State and Fire Safety Regulations for Local Detention Facilities                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                           |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

| Year / Report                                                            | Recommendations                                                                      | Initial Responses                                                                                                                                                                                                                     | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                             | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                |
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| 2002 - 2003<br>SFPD and<br>Fire Safety<br>For<br>Detention<br>Facilities | 1. Discontinue the Use<br>of Detention Cells at the<br>Three Stations                | 1. Police Dept. continues to request<br>funds 2003-2005 to make repairs,<br>but no funds provided. Still<br>operates under "alternate means of<br>compliance."--SFPD                                                                  | 1. Detention cells in those<br>stations continue to be used<br>notwithstanding safety and fire<br>deficiencies noted by the State<br>Board of Corrections and the lack<br>of clearance from the San<br>Francisco Fire Department.-- CGJ<br>2003-2004 | 1. SFPD has granted a variance by<br>maintaining a regular fire watch.<br>Funding received in 2005-06, and<br>additional requested for 2006-07 for<br>repairs.--SFPD to CGJ, 3/06                                                                                                                                                                                                                                                                     |
| 2002 - 2003<br>SFPD and<br>Fire Safety<br>For<br>Detention<br>Facilities | 2a. Provide Information<br>to Detention Facility<br>Managers in District<br>Stations | 2a/2c. District Station Capt. Is<br>responsible for enforcement--Dept.<br>Policy. The necessary repairs<br>absent fire code compliance with<br>the holding cells at Northern,<br>Ingleside, Richmond stations have<br>occurred.--SFPD | 1. The City's Capital Improvement<br>Assessment Committee and the<br>Mayor's Budget Office have<br>denied funding because refitting<br>the stations to meet safety and<br>fire standards was not considered<br>high priority.-- CGJ 2003-2004        | 2a. Information is provided to facility<br>personnel at the district stations<br>through the chain of command. The<br>Captains generate a memorandum to<br>their staff regarding the Board of<br>Correction's findings.---SFPD to CGJ,<br>3/06                                                                                                                                                                                                        |
| 2002 - 2003<br>SFPD and<br>Fire Safety<br>For<br>Detention<br>Facilities | 2b. Monitor Compliance<br>With State Regulations                                     | 2b. Dept. policy already requires<br>commanding officers conduct<br>inspections quarterly and report<br>findings to the Department's OSHA<br>manager.--SFPD                                                                           |                                                                                                                                                                                                                                                      | 2b. Through the SFPD Planning<br>Division, the facilities manager<br>coordinates with the DPW to effect<br>repairs that are identified in the BOC<br>report. Follow up is performed<br>through the district station facility<br>coordinators to ensure that the repairs<br>have been completed. Any other<br>issues that are outlined as needing<br>correction are handled by Field<br>Operations Bureau or pertinent<br>division.--SFPD to CGJ, 3/06 |
| 2002 - 2003<br>SFPD and<br>Fire Safety<br>For<br>Detention<br>Facilities | 2c. Regularly Report<br>Status                                                       | 2a/2c. District Station Capt. Is<br>responsible for enforcement--Dept.<br>Policy. The necessary repairs<br>absent fire code compliance with<br>the holding cells at Northern,<br>Ingleside, Richmond stations have<br>occurred.--SFPD |                                                                                                                                                                                                                                                      | 2c. The district station facility<br>coordinators in their quarterly<br>hazardous inspection checklist<br>provide quarterly updates to Staff<br>Services as to whether or not<br>corrections have been made.--SFPD<br>to CGJ, 3/06                                                                                                                                                                                                                    |

| Year / Report                                                                                             | Recommendations                                                                                                                                                                                                                                                                                    | Initial Responses                                                                                                                                                                                                                              | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                                                      | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                   |
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| 2002 - 2003<br>SFPD and<br>Fire Safety<br>For<br>Detention<br>Facilities                                  | 2d. Prepare Station<br>Order for Fire<br>Suppression and<br>Emergency Evacuation                                                                                                                                                                                                                   | 2d. Station commanding officers<br>are required to have up to date<br>order for emergency evacuation<br>and affixed to the Booking/<br>Detention manual. Police Dept.<br>Emergency evacuation plan has<br>been posted in the facilities.--SFPD |                                                                                                                                                                                                                                                                                                                                                                                                               | 2d. In addition to Station Order<br>outlining fire suppression, the SFPD<br>Field Operations Bureau General<br>Order has a protocol to close a station<br>in case of an emergency.--SFPD to<br>CGJ, 3/06.                                                                                                                                                                                                                |
| 2002 - 2003<br>SFPD and<br>Fire Safety for<br>Facilities                                                  | 2e. Prepare and Post<br>Station Evacuation<br>Route Maps                                                                                                                                                                                                                                           | 2e. All signs posted. Dept has<br>large-scale evacuation maps<br>posted in at least 5 locations.--<br>SFPD                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                               | 2e. Evacuation maps are posted at<br>every SFPD facility.--SFPD to CGJ,<br>3/06.                                                                                                                                                                                                                                                                                                                                         |
| 2002 - 2003<br>SFPD and<br>Fire Safety for<br>Facilities                                                  | <u>Although not fulfilling all the recommendations of the CGJ 2003 report, the responses of the SFPD are nevertheless adequate considering it is complying legally and has requested funds for repairs. Further monitoring by the CGJ should be considered low priority.-- CGJ 2005-06 comment</u> |                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>SFPD Not in Compliance with State and Fire Safety Regulations for Local Detention Facilities   END</b> |                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2002 - 2003                                                                                               | Human Rights Commission and the Minority Business Ordinance; Statistics but no Specifics to Support City Claim that it Discriminates                                                                                                                                                               |                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2002 - 2003<br>Human<br>Rights<br>Commission/<br>MBE:<br>Discriminates                                    | 1a. Report actual<br>instances of<br>discrimination.                                                                                                                                                                                                                                               | 1a. CGJ mistaken about reporting<br>requirements. City Attorney, HRC<br>complies with its reporting<br>requirements under Chapter 12dA.<br>18.--HRC                                                                                            | CGJ: The City should immediately<br>eliminate explicit or implicit<br>preference based on race, sex,<br>color, ethnicity or national origin<br>from City contracting rules,<br>publications, policies and<br>practices.<br>HRC response: This<br>recommendation requires further<br>analysis and discussion with San<br>Francisco policy makers.-- City<br>Contracting and Affirmation<br>Action, CGJ 2004-05 | On July 26, 2004, in Coral<br>Construction, Inc. v. City and County<br>of San Francisco, the SF Superior<br>Court enjoined the City from enforcing<br>certain provisions of the Minority<br>Business Ordinance. The Court ruled<br>that the race and gender specific<br>remedial program set forth in San<br>Francisco Administrative Code<br>Chapter 12D.A. violated California's<br>Proposition 209.--HRC to CGJ, 3/06 |
| 2002 - 2003<br>Human<br>Rights<br>Commission/<br>MBE:<br>Discriminates                                    | 1b. Reconsider<br>Program if no actual<br>discrimination.                                                                                                                                                                                                                                          | 1b. The City has taken significant<br>efforts to remedy the systemic<br>discrimination in contracting against<br>minorities/women.--HRC                                                                                                        | The City is in the process of<br>revising its contract documents...<br>that relate to hiring by City<br>contractors.--CGJ 2004-2005                                                                                                                                                                                                                                                                           | The City has appealed Coral. Pending<br>resolution of that appeal, the City<br>adopted a temporary Disadvantaged<br>Business Enterprise Program which is<br>set forth in SF Administrative Code<br>Chapter 14A.--HRC to CGJ, 3/06                                                                                                                                                                                        |



| Year / Report                                                    | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Initial Responses                                                                                           | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                     | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                      |
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| 2002 - 2003<br>Human Rights Commission/<br>MBE:<br>Discriminates | 1c. Record goals data for every contract.                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 1c. HRC already complies with this. OCA does not have resources/expertise addressing discrimination issues. | Although still in draft, the revised forms reflect the City's commitment to encouraging its contractors to hire qualified disadvantaged persons to work on city construction and other projects.—CGJ 2004-2005                                                                                                                                                               | The BOS is in the process of crafting a permanent Local Business Enterprise Program. Both of these programs enhance opportunities for small SF businesses to participate in City contracting and both are race and gender neutral.—HRC to CGJ, 3/06                                                         |
| 2002 - 2003<br>Human Rights Commission/<br>MBE:<br>Discriminates | 1d. Establish Software Program to Record Data.                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 1d. HRC already complies with this.                                                                         | The revision will still prohibit contractors from discriminating on the bases of race, sex or any other characteristic protected by law. The HRC will also continue to collect and analyze data about the ethnic and gender makeup of its contractors and contractors' workforces in furtherance of the City's commitment to nondiscrimination in contracting.—CGJ 2004-2005 | Thus neither program requires factual findings of discrimination and disparity to support race and gender preferences such as the City developed to support the Minority Business Ordinance. The HRC remains committed to ensuring that neither the City nor our contractors discriminate.—HRC to CGJ, 3/06 |
| 2002 - 2003<br>Human Rights Commission/<br>MBE:<br>Discriminates | 2. Transfer HRC post-award contract compliance functions to the Office of Contract Administration.                                                                                                                                                                                                                                                                                                                                                                                               | 2. Dept. of Admin Services policy not implemented - Policy matter for Mayor/BOS.—Dept. of Admin Services    |                                                                                                                                                                                                                                                                                                                                                                              | The Office of Contract Administration is working with the City Administrator and the Human Rights Commission to develop standards and protocols pursuant to the DBE/LBE legislation.—Mayor's Policy Index 1/06                                                                                              |
| 2002 - 2003<br>Human Rights Commission/<br>MBE:<br>Discriminates | Future CGJs wishing to pursue the topic of discrimination in contracting should consider this report along with the CGJ 2001-2002 report on "Professional Services Contracting I," and the CGJ 2004-2005 reports "City Contracting and Affirmative Action" and "What is the Difference Between a Contract and a Grant?" Some legal issues on these subjects remain unsettled. Jurors should recognize the City's political realities before pursuing any quixotic changes.—CGJ 2005-2006 Comment |                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                             |
| 2002 - 2003                                                      | Human Rights Commission and the Minority Business Ordinance; Statistics but no Specifics to Support City Claim that it Discriminates    END                                                                                                                                                                                                                                                                                                                                                      |                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                             |
| 2002 - 2003                                                      | Improving the Infra-Structure of Democracy: CGJ Report on Dept. of Elections and the Conduct of the Nov. 2002 Elections                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                             |
| 2002 - 2003<br>Department Of Elections                           | 1. Secure a Single Site for Operations.                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 1. Agree. This is a budget issue.—City Administrator                                                        | To date, an appropriate site has not been located, nor have any City funds been set aside for such a consolidation.—CGJ 2003-4                                                                                                                                                                                                                                               | 1. At this time, the Department has not yet been able to secure a single site for operations and the locations listed in your report remain the same;                                                                                                                                                       |



| Year / Report                             | Recommendations                                                                                     | Initial Responses                                                                                                                                                                                                                                                                                                | CGJ 2002-2005 Follow-ups                                                                | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                 |
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|                                           |                                                                                                     |                                                                                                                                                                                                                                                                                                                  | As of 12/04, no progress towards consolidation to a single site to date.--CGJ 2004-2005 | one exception is Simba which is now known as GRM.--Dept. of Elections to CGJ, 3/06                                                                                                                                                                                                                                                                                     |
| 2002 - 2003<br>Department<br>Of Elections | 2a. Training should minimize the workload of elections personnel in processing provisional ballots. | 2a. Improved training curriculum implemented for Nov. 2003 election will continue to improve for subsequent elections. In 2003, Dept. redesigned the provisional voting envelopes so that instructions are more clear.—Dept. of Elections                                                                        |                                                                                         | 2a. The Pollworker Training Division extensively trains pollworkers about the procedures for voters to request and cast a provisional ballot in the event that the voter's registration or voting status cannot be confirmed at the polling place--Dept. of Elections to CGJ, 3/06                                                                                     |
| 2002 - 2003<br>Department<br>Of Elections | 2b. Invite All Divisions to Participate in Designing Training Programs                              | 2b. Implemented. The Dept. of Elections continues to utilize the Training Advisory Board to Advise on the curriculum of the training program.—Dept. of Elections                                                                                                                                                 |                                                                                         | 2b. The Pollworker Training Division consults with all other divisions within the Department on the training curriculum, training manual and other election day materials utilized by pollworkers.--Dept. of Elections to CGJ, 3/06                                                                                                                                    |
| 2002 - 2003<br>Department<br>Of Elections | 2c. Missing Training Will Result In Reduction of Poll Workers' Pay                                  | 2c. Not implemented. Dept feels deducting compensation doesn't appropriately address issue.. Dept will combine compensation for training/work performed on election day into one sum, which workers receive only if they attend both the required training sessions and work on election day.—Dept. of Elections |                                                                                         | 2c. Pollworkers who do not attend training prior to election day are disqualified from the pollworker position and therefore, are not allowed to work on election day; consequently, they do not receive a pollworker stipend.--Dept. of Elections to CGJ, 3/06                                                                                                        |
| 2002 - 2003<br>Department<br>Of Elections | 3. Deputy Sheriffs Should Be Provided Supply of Generic Ballots                                     | 3. More appropriate for this to be addressed by Dept. of Elections—Sheriff's Dept. The Dept. Of Elections developed/implemented a plan to ensure delivery of additional generic ballots to precincts.—Dept. of Elections                                                                                         |                                                                                         | 3. As the deputy sheriffs start later in the day, the Department does not provide them with generic ballots. Instead, the Department supplies generic precinct ballots to trained Field Election Deputies on election day. The FEDs are assigned to designated precincts are are instructed to provide these ballots only as needed.--Dept. of Elections to CGJ, 3/06. |

| Year / Report                                                                                                                           | Recommendations                                                                                                                                                                                                                                                                                                                                                         | Initial Responses                                                                                                                                                                                        | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                                                                                                                | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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| 2002 - 2003<br>Department<br>Of Elections                                                                                               | 4. Eliminate Imbalance<br>of Permanent and<br>Temporary Employees                                                                                                                                                                                                                                                                                                       | 4. DOE developed a permanent<br>structure which utilizes a core staff<br>of permanent managers/operations<br>personnel. All the positions have<br>not been filled as of 2003.—Dept.<br>of Elections      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 4. The Office of the Controller is<br>currently conducting a Departmental<br>staff audit.--Dept. of Elections to CGJ,<br>3/06.                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003<br>Department<br>Of Elections                                                                                               | 5. Provide Blank<br>Envelope to Insert<br>Ballot.                                                                                                                                                                                                                                                                                                                       | 5. Not implemented. Addition of<br>secrecy sleeves is not efficient/cost<br>effective. Dept. has changed its<br>absentee ballot processing<br>procedures to protect voter<br>privacy.—Dept. of Elections |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 5. The Department recognizes the<br>importance of the confidentiality and<br>privacy of the voter. ...pollworkers are<br>trained extensively on the importance<br>of providing a privacy sleeve to every<br>voter.--Dept. of Elections to CGJ,<br>3/06.                                                                                                                                                                                                                                                                                                                             |
| 2002 - 2003<br>Department<br>Of Elections                                                                                               | <u>Despite not fulfilling all of the 2002-03 CGJ recommendations, the Department of Elections has responded well, considering its<br/>funding and logistical limitations. The handling of future elections, especially with regards to staffing, rank-choice voting, and<br/>voting machines, may be an area of focus for future CGJ inuries. — CGJ 2005-06 comment</u> |                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2002 – 2003 Improving the Infra-Structure of Democracy: CGJ Report on Dept. of Elections and the Conduct of the Nov. 2002 Elections END |                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2002 - 2003 It's a Catastrophe: The State of Emergency Planning in San Francisco                                                        |                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco                                      | 1a. The Mayor and<br>Director of Emergency<br>Services Should Create<br>an Integrated and<br>Comprehensive<br>Structure for<br>Emergency Planning                                                                                                                                                                                                                       | 1a. Lucien G. Canton, Director of<br>Emergency Services - This<br>recommendation has been<br>implemented in that a<br>comprehensive planning structure<br>already exists                                 | 1a. On his first full day as Mayor,<br>Gavin Newsom convened the San<br>Francisco Disaster Council and<br>directed municipal departments to<br>update their preparedness plans<br>for earthquakes, terrorist acts and<br>other emergencies. He gave<br>departments until the end of<br>March to update their response<br>plans and ordered the<br>Department of Emergency<br>Services to create a new citywide<br>operations plan by the end of<br>June.--CGJ 2003-2004 | 1a. San Francisco lacks a coherent<br>strategic planning process for delivery<br>of emergency medical services, which<br>should include input from both the<br>public and private sectors.—CGJ<br>2005-06 report on Disaster Planning.<br><br>The OES has yet to conduct a robust<br>strategic planning effort consistent<br>with generally accepted strategic<br>planning guidance.—Budget Analyst,<br>5/06<br><br>OES Director Conroy: Emergency<br>plans in SF are fully capable of<br>handling a major event. Budget<br>Analyst's report is incorrect.—SF<br>Chronicle, 5/16/06 |

| Year / Report                                                                                      | Recommendations                                                                                                              | Initial Responses                                                                                                                                                                                                                                                                                                                                                           | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
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| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 1b. The Director of<br>Emergency Services<br>Should Educate Board<br>of Supervisors About<br>the Emergency<br>Operation Plan | 1b. Director of Emergency<br>Services: This recommendation has<br>been implemented in that written<br>information on their duties and<br>responsibilities is already available<br>to the members of the Board of<br>Supervisors and the Director of<br>Emergency Services already meets<br>with newly elected officials.                                                    | Presently, the Office of<br>Emergency Services is located in<br>the northeast quadrant of San<br>Francisco and operates from the<br>Emergency Operations Center<br>which handles 911 calls for<br>police, fire and medical<br>emergency dispatching. The<br>Center is undergoing a<br>transition which will civilize<br>practically all its staff. Additionally,<br>there is an on-going review of its<br>triage protocols which are used to<br>assess incoming emergency calls<br>and to dispatch first responders.--<br>CGJ 2003-2004.                                                                            | 1b. Three members of the Board of<br>Supervisors are on the City Disaster<br>Council...The Director of OES/HS is<br>the Executive Secretary of the<br>Disaster Council, which is empowered<br>to recommend to the BOS regulations<br>necessary to implement the<br>emergency plan-- CGJ 2005-06 report<br>on Disaster Planning<br><br>OES needs to develop exercise<br>objectives that allow the members of<br>the Board of Supervisors to practice<br>their emergency function. --Budget<br>Analyst, 5/06 |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 2a. The Mayor Should<br>Convene the Disaster<br>Council on a Regular<br>Basis                                                | 2a. This recommendation has not<br>been implemented but will be at a<br>future date. The Disaster Council is<br>scheduled to meet in September to<br>consider resolutions related to the<br>Homeland Security Program and to<br>adopt the terrorism response<br>strategy currently under<br>development as part of the Federal<br>Urban Areas Security Initiative.--<br>OES | 2a. Substantial improvements<br>have been made at the OES. The<br>Mayor named a new Director. The<br>OES has used the 2002/2003<br>report as guidance to improve<br>emergency preparedness for the<br>CCSF. The CGJ is pleased to<br>conclude that, based on the<br>observed changes within OES,<br>the state of emergency planning<br>and preparedness in SF is no<br>longer a "catastrophe." The OES<br>is doing an admirable job, given<br>its current federal resources and<br>the limited amount of space at the<br>current location. SF has<br>convened Disaster Council on a<br>regular basis. --CGJ 2004-05 | 2a. The Disaster Council now meets<br>quarterly.--Mayor's (Newsom) Policy<br>Index 1/06                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 2b. The Disaster<br>Council Needs to<br>Update the Emergency<br>Operations Plan                                              | 2b. This recommendation has not<br>been implemented but will be at a<br>future date. The Director of<br>Emergency Services has obtained<br>a Federal grant to update the<br>Emergency Operations Plan by<br>December 2003 but will most likely                                                                                                                              | 2b. The OES has developed a<br>comprehensive plan for dealing<br>with numerous emergencies and<br>disasters. Also, programs are<br>being developed with surrounding<br>communities to share resources,<br>equipment, and supplies for                                                                                                                                                                                                                                                                                                                                                                               | 2b. The Disaster Council is not<br>adequately performing its<br>responsibility of developing an<br>emergency plan.--Budget Analyst,<br>5/06.<br><br>New Emergency Operations Plan                                                                                                                                                                                                                                                                                                                          |



| Year / Report                                              | Recommendations                                                           | Initial Responses                                                                                                    | CGJ 2002-2005 Follow-ups                                                                                                                       | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
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|                                                            |                                                                           | seek an extension on the grant deadline until sometime in 2004.<br>The updated plan will have a recovery annex.--OES | disaster coordination. OES has a new web site for emergency preparedness. City has new siren system that alerts and broadcasts.--CGJ 2004-2005 | approved by the Disaster Council January 11, 2005.--Mayor's Policy Index 1/06<br><br>Less than two pages (of 107) of the Emergency Operations Plan deal explicitly with medical services and public health during an emergency; rather, the plan delegates these responsibilities to the Department of Public Health. OES/HS and DPH need to include private hospitals in emergency planning.--CGJ 2005-06 report on Disaster Planning<br><br>OES/HS, in collaboration with the San Francisco Department of Public Health, works closely with all CCSF hospitals in coordinating response and preparedness activities. Hospitals are closely involved with exercise development and execution, ensuring that the goals and objectives of the healthcare community are addressed in these efforts.<br><br>OES/HS attends the monthly Hospital Council Emergency Preparedness Task Force, a network of health care providers and stakeholders from throughout public and private entities in San Francisco.--OES (Conroy), 5/06 |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF | 2c. The Disaster Council Should Assume Emergency Planning Functions       | 2c. This recommendation will not be implemented, as it is not warranted or reasonable.--OES                          |                                                                                                                                                | 2c. The Disaster Council should become a true planning body, with high-level work groups having defined tasks and timelines.--CGJ 2005-06 report on Disaster Planning                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF | 2d. The Director of Emergency Services Should Obtain Emergency Plans from | 2d. This recommendation will not be implemented, as it is not warranted or reasonable.--OES                          |                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |



| Year / Report                                                                                      | Recommendations                                                                                                | Initial Responses                                                                                                                                                                                                              | CGJ 2002-2005 Follow-ups                                                   | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
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|                                                                                                    | Departments.                                                                                                   |                                                                                                                                                                                                                                |                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 2e. Departments should provide summaries of Emergency Plans to Employees.                                      | 2e. This recommendation will not be implemented, as it is not warranted or reasonable. Requiring departments to reprint and distribute copies of their functional plans annually is neither necessary nor cost effective.--OES | 2e. OES educates City employees of duties in an emergency. --CGJ 2004-2005 | 2e. Under state and local law, all 26,000 City employees are disaster service workers. Last year, in conjunction with the Department of Human Resources, OES/HS began to develop a training program and new Disaster Service Worker identification system for all city workers.--OES (Conroy), 5/06                                                                                                                                                                                                                                       |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 2f. The Director of Emergency Services Should Distribute Updated Emergency Operations Plans to All Departments | 2f. This recommendation has not been implemented but will be at a later date.--OES                                                                                                                                             |                                                                            | 2f. Mayor sent directives memo in January 2005 for all city departments to maintain updated disaster plan with OES.--Mayor's (Newsom) Policy Index, 1/06<br><br>In 1/04, the Mayor directed City departments to submit an emergency plan to OES by March 2004. However, 11 have not, and 14 did not update their plan.--Budget Analyst, 5/06<br><br>OES/HS will continue to expand its efforts to include all appropriate City departments and organizations in the planning and participation in all its activities.--OES (Conroy), 5/06 |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | 2g. The Director of Emergency Services Should Coordinate a Comprehensive Risk and Threat Assessment Program    | 2g. This recommendation has been implemented.--OES                                                                                                                                                                             |                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | 2h. The Mayor Should Appoint Department Heads in the Command Policy Group to the Disaster Council              | 2h. This recommendation has been implemented.--OES                                                                                                                                                                             |                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

| Year / Report                                                                                                   | Recommendations                                                                                                                                                                                  | Initial Responses                                                                                                                                                                                                                                                                                                                                                                                                         | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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| <p>2002 - 2003<br/>It's a<br/>Catastrophe:<br/>The State of<br/>Emergency<br/>Planning in San<br/>Francisco</p> | <p>3a. The Director of<br/>Emergency Services<br/>Should Direct All<br/>Departments to Adopt<br/>the Incident Command<br/>System</p>                                                             | <p>3a. This recommendation will not<br/>be implemented, as it is not<br/>warranted or reasonable.--OES</p>                                                                                                                                                                                                                                                                                                                |                          | <p>City departments failed to follow ICS protocols during Fast Track II, a disaster exercise held in late 2005. This resulted in information gaps that delayed provision of first aid services. Since then, OES/HS has drafted recommendations and an Improvement Plan, which calls for ICS/Unified Command training for SFPD and SFPD staff and a redesign of the OES/HS Emergency Operations Center.--CGJ 2005-06 report on Disaster Planning</p>                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <p>2002 - 2003<br/>It's a<br/>Catastrophe:<br/>The State of<br/>Emergency<br/>Planning in San<br/>Francisco</p> | <p>3b: The Director of<br/>Emergency Services<br/>Should Direct All Major<br/>Departments Whose<br/>Operations Are<br/>Essential in an<br/>Emergency to Evaluate<br/>the Need for Mutual Aid</p> | <p>3b. This recommendation will not<br/>be implemented, as it is not<br/>warranted or reasonable. As has<br/>been mentioned several times<br/>above, Mutual Aid is governed<br/>either by the Master Mutual Aid<br/>Agreement, which is coordinated<br/>through the Governor's Office of<br/>Emergency Services, or through<br/>specific agreements developed and<br/>maintained by the State of<br/>California.--OES</p> |                          | <p>Despite the fact that OES trained 60 persons on the ICS, little improvement in this area was demonstrated in subsequent exercises.--Budget Analyst, 5/06</p> <p>3b. OES has not systematically included key City departments and other local agencies in exercise scenarios that focus specifically on their facilities, negating the ability of City departments to coordinate their emergency preparedness efforts with these other entities....</p> <p>On multiple occasions, OES provided conflicting information to City department representatives regarding emergency planning.<br/>--Budget Analyst, 5/06.</p> <p>OES/HS has assisted the various City departments that have a role in disaster response in establishing Departmental Operations Centers. This effort is aimed at ensuring the consistency of equipment and operational functions.--OES (Conroy), 5/06.</p> |

| Year / Report                                                                                  | Recommendations                                                                                    | Initial Responses                                                                                                                                                                       | CGJ 2002-2005 Follow-ups                                                                                                 | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| <p>2002 - 2003</p> <p>It's a Catastrophe: The State of Emergency Planning in San Francisco</p> | <p>4a. The Director of Emergency Services Should Conduct Annual Functional Emergency Exercises</p> | <p>4a. This recommendation has already been implemented. As mentioned above, the Office of Emergency Services already conducts two interagency functional exercises each year.--OES</p> | <p>4a. Regular emergency drills are conducted within the City, as well as with surrounding communities.--CGJ 2004-05</p> | <p>4a. Emergency drills need to be realistic and test the ability of hospitals to meet surge (high-capacity) goals and to properly use recently purchased or newly installed equipment....</p> <p>A full-scale exercise sponsored by the California Homeland Security Program in late 2005 to test the coordination of responses by city, county, and state government was characterized by poor communication-- CGJ 2005-06 report on Disaster Planning</p> <p>Emergency responders are often unable to fully test their ability to perform a given function in exercises.--Budget Analyst, 5/06</p> <p>Over the past 2 years, exercises and training have increased substantially. OES/HS conducts monthly exercises at our Emergency Operations Center and larger-scale exercises on a regular basis.--OES (Conroy), 5/06.</p> |
| <p>2002 - 2003</p> <p>It's a Catastrophe: The State of Emergency Planning in San Francisco</p> | <p>4b. Conduct Evaluations of the Exercises</p>                                                    | <p>4b. This recommendation will not be implemented, as it is not warranted or reasonable. There are no SEMS forms related to exercise evaluation.--OES</p>                              |                                                                                                                          | <p>4b. Those interviewed candidly regarding the 2005 drills commented that they were both "a disaster." ...The delay in circulating After Action Reports, such as for the October and November drills, undermines the ability of city leaders to understand operational issues at the departmental level.-- CGJ 2005-06 report on Disaster Planning</p> <p>Despite repeated exposure to protocols through training and exercises, emergency responders inconsistently implemented these</p>                                                                                                                                                                                                                                                                                                                                       |



| Year / Report                                                                                      | Recommendations                                                                                                                                   | Initial Responses                                                                                                                                                                                                                                                                                                       | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                         |
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|                                                                                                    |                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                         |                          | protocols during exercises....<br>OES distributed exercise evaluations for all exercises conducted in 2004 and 2005 in January of 2006, a delay of up to 15 months.—Budget Analyst, 5/06                                                                                                       |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in SF               | 4c. The Director of<br>Emergency Services<br>Should Require the<br>Command Policy Group<br>to Participate in<br>Functional Emergency<br>Exercises | 4c. This recommendation will be<br>implemented at a later date.--OES                                                                                                                                                                                                                                                    |                          |                                                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 5a. The Director of<br>Emergency Services<br>Should Ensure That<br>First Responder<br>Departments Test<br>Operation Return<br>Annually            | 5a. This recommendation will not<br>be implemented, as it is not<br>warranted or reasonable. Until a<br>regional plan is in place, the<br>Director of Emergency Services<br>does not believe that expending<br>resources to conducting a full-scale<br>exercise to test the Operation<br>Return plan is justified.--OES |                          |                                                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | 5b. The Fire<br>Department Should<br>Maintain the NERT<br>Program at Current<br>Levels                                                            | 5b. This recommendation has<br>already been implemented.<br>Funding for NERT was obtained<br>through successful lobbying by the<br>Mayor to obtain additional<br>Homeland Security funds.--OES                                                                                                                          |                          | 5b. The Mayor has increased NERT<br>funding by over 2000% since the<br>beginning of the term. SFFD<br>expanded NERT program--Mayor's<br>Policy Index, 1/06                                                                                                                                     |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 5c. Emergency<br>Services Should Work<br>With All City<br>Departments to Create<br>a Comprehensive<br>Recovery Plan                               | 5c. This recommendation has not<br>been implemented but will be at a<br>later date. The Office of Emergency<br>Services is developing a recovery<br>annex, the Emergency Operations<br>Plan, as part of the plan revision<br>and is seeking additional grant<br>funding to develop a full recovery<br>plan.--OES        |                          | 5c. The City's Emergency Operations<br>Plan defines the three phases of<br>recovery activities. Phase 1 is the<br>Initial Response days 1-7, Phase 2 is<br>defined as Mid-Term Planning Days<br>7-30 and Phase 3, Long-term<br>Reconstruction Day 30 - until<br>completed.--OES (Conroy), 5/06 |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of                                              | 6a. The Mayor Should<br>Designate One City<br>Department to Manage<br>the Security of City                                                        | 6a. This recommendation will<br>require further analysis. This<br>recommendation will be considered<br>as part of the Homeland Security                                                                                                                                                                                 |                          |                                                                                                                                                                                                                                                                                                |



| Year / Report                                                                                   | Recommendations                                                                                                           | Initial Responses                                                                                                                                                                                                                                                                                                                            | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                             |
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| Emergency Planning in San Francisco                                                             | Buildings                                                                                                                 | Strategy currently under development. The expected completion date is October 2003.--OES                                                                                                                                                                                                                                                     |                          |                                                                                                                                                                                                                                                                                                                    |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                      | 6. The City Should Implement Corrective Actions Identified in the Sheriff's Physical Security Audit of 2002               | 6b. This recommendation will require further analysis.--OES                                                                                                                                                                                                                                                                                  |                          |                                                                                                                                                                                                                                                                                                                    |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in San Francisco                           | 6c. Emergency Services or Agency Given Overall Security Responsibility Should Assess Vulnerability of All City Properties | 6c. This recommendation will require further analysis as it is based on Recommendation 6a.--OES                                                                                                                                                                                                                                              |                          | 6c. OES should assess and, when appropriate, help other City departments improve the seismic safety of Department Emergency Operations Centers.--Budget Analyst, 5/06                                                                                                                                              |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San Francisco | 6d. Emergency Services Should Ensure Building With City Employees Conduct Quarterly Evacuation Drills                     | 6d. This recommendation will not be implemented, as it is not warranted or reasonable. Responsibility for the safety of employees at a facility is the direct responsibility of the building manager and the cognizant department head. The Office of Emergency Services has neither the responsibility nor the resources to implement.--OES |                          |                                                                                                                                                                                                                                                                                                                    |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San Francisco | 7a. Improve the Safety and Security of 800 MHz System Locations                                                           | This recommendation will require more study. The site was never intended to withstand a terrorist attack and security is appropriate to the level of threat for which it was intended.--OES                                                                                                                                                  |                          | 7a. OES (Homeland Security Group) is working with DTIS to enhance security at radio sites, and DTIS conducts regular radio degradation drills. While there are a number of initiatives in progress to improve radio interoperability, the 800 MHz provides exceptional radio coverage.--Mayor's Policy Index, 1/06 |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San Francisco | 7b. Provide 800MHz Radios to First Responders                                                                             | 7b. This recommendation will not be implemented, as it is not warranted or reasonable. This recommendation is vague and open-ended and, in theory, has already been accomplished through                                                                                                                                                     |                          | 7b. The city's Emergency Operations Plan of January 2005 identifies multiple warning systems, some of which include 800 MHz -- CGJ 2005-06 report on Disaster Planning                                                                                                                                             |

| Year / Report                                                                                                   | Recommendations                                                                                                                                                               | Initial Responses                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                   |
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| <p>Francisco</p>                                                                                                |                                                                                                                                                                               | <p>the 800 MHz Project.--OES</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                          | <p>At the March 2005 Disaster Forum exercise, some of the City's emergency responders did not know which channel of the 800 MHz radio they should use.--Budget Analyst, 5/06</p> <p>Major improvements have been made to the City's emergency radio communications system.--OES (Conroy), 5/06.</p>      |
| <p>2002 - 2003<br/>The State of<br/>Emergency<br/>Planning in San<br/>Francisco</p>                             | <p>7c: Locate Back Up<br/>Sites for 800 MHz<br/>System Locations</p>                                                                                                          | <p>7c. This recommendation is in the process of being implemented. A project is currently underway to create a 2nd stand-alone location where the 800MHz Radio System will operate in 'failsoft' mode.--OES</p> <p>7d. This recommendation will be implemented. DTIS will collaborate with the Emergency Communications Department and implement priority use of redundant and back-up equipment and systems, including a review and refinement of the recall and return plan of DTIS personnel to restore failed radio communication systems.--OES</p> |                          | <p>7d. The ECD is working with OES and the Police Department to enhance equipment at the current backup site to be able to provide 9-1-1 continuity for up to 4 months. In 2006 the City plans to move the backup equipment to the 311 Center at 1 South Van Ness Avenue.-Mayor's Policy Index, 1/06</p> |
| <p>2002 - 2003<br/>It's a<br/>Catastrophe:<br/>The State of<br/>Emergency<br/>Planning in San<br/>Francisco</p> | <p>7d. Create a Plan to<br/>Prioritize Use of Back<br/>Up Systems</p>                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                          |                                                                                                                                                                                                                                                                                                          |
| <p>2002 - 2003<br/>It's a<br/>Catastrophe:<br/>The State of<br/>Emergency<br/>Planning in San<br/>Francisco</p> | <p>7e. Emergency<br/>Services Should Ensure<br/>That the Department of<br/>Telecommunications<br/>and Information<br/>Services Tests the<br/>800MHz System to<br/>Failure</p> | <p>7e. This recommendation will not be implemented, as it is not warranted or reasonable. DTIS in collaboration with the Emergency Communications Department (ECD), conducts tests of the 800MHz Radio System's 'failsoft' feature on a regular and scheduled basis.--OES</p>                                                                                                                                                                                                                                                                           |                          |                                                                                                                                                                                                                                                                                                          |
| <p>2002 - 2003<br/>It's a<br/>Catastrophe:<br/>The State of</p>                                                 | <p>7f. Emergency Services<br/>Should Work With<br/>Departments and<br/>Officials to Provide</p>                                                                               | <p>7f. This recommendation will not be implemented, as it is not warranted or reasonable. Personnel with primary responsibility in an</p>                                                                                                                                                                                                                                                                                                                                                                                                               |                          | <p>7f. During the March, 2006 Disaster Forum, a Municipal Railway official stated that, despite repeated requests to OES, Muni still des not have 800</p>                                                                                                                                                |

| Year / Report                                                                    | Recommendations                                                                                                                             | Initial Responses                                                                                                                                                                                                                                                                              | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                             |
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| Emergency Planning in San Francisco                                              | 800MHz Radios to Those Persons Having Responsibility in an Emergency                                                                        | emergency response are already on the 800 MHz system.--OES                                                                                                                                                                                                                                     |                          | MHz radios. —Budget Analyst, 5/06.                                                                                                                                                                 |
| 2002 - 2003 The State of Emergency Planning in San Francisco                     | 7g. Emergency Services and the Police Department Should Investigate the Adequacy of Their Information Systems                               | 7g. This recommendation will not be implemented, as it is not warranted or reasonable. This recommendation appears to conflict with recommendation 7i.--OES                                                                                                                                    |                          |                                                                                                                                                                                                    |
| 2002 - 2003 The State of Emergency Planning in San Francisco                     | 7h. The Department of Telecommunications and Information Services Should Identify and Secure a More Suitable Location for the City's Server | 7h. This recommendation is in the process of being implemented. DTIS is actively seeking an alternate location for its data center that will enhance security.--OES                                                                                                                            |                          |                                                                                                                                                                                                    |
| 2002 - 2003 The State of Emergency Planning in San Francisco                     | 7i. Emergency Services and the Police Department Should Establish a Different Site for the Back Up of the Emergency Communications Center   | 7i. This recommendation requires further study. The Emergency Communications Department has been evaluating potential backup PSAP site locations and options such as a mobile communications system.--OES                                                                                      |                          |                                                                                                                                                                                                    |
| 2002 - 2003 It's a Catastrophe: The State of Emergency Planning in San Francisco | 7j. Emergency Services Should Develop a Plan to Provide 800MHz Radios to the Bay Area Chapter of the American Red Cross                     | 7j. This recommendation will not be implemented, as it is not warranted or reasonable. The American Red Cross does not require access to the 800 MHz radio system. The Red Cross has its own radio system; a base station on that system is installed at the Emergency Operations Center.--OES |                          |                                                                                                                                                                                                    |
| 2002 - 2003 It's a Catastrophe: The State of Emergency Planning in San Francisco | 7k. The City Should Adopt American Red Cross Shelter Criteria                                                                               | 7k. This recommendation has been implemented in that the City adopted the Red Cross sheltering criteria in 1998 and has as its goal the identification of sufficient shelter for 40,000 people.--OES                                                                                           |                          | 7k. A representative from the Red Cross is on the City's Disaster Council—CGJ 2005-06 report on Disaster Planning<br><br>For the first time, the City's new Care and Shelter Plan addresses how to |



| Year / Report                                                                                      | Recommendations                                                                                                                   | Initial Responses                                                                                                                                                                                                                                                                                        | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                |
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| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | 7l. The City Should<br>Provide a Facility to the<br>American Red Cross to<br>Use as a Disaster Field<br>Supply Center             | 7l. This recommendation will not be<br>implemented, as it is not warranted<br>or reasonable. The Red Cross has<br>located suitable space.--OES                                                                                                                                                           |                          | accommodate up to 40,000 people<br>who may become displaced by a<br>disaster.--OES (Conroy), 5/06                                                                                                                                                     |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 7m. The City Should<br>Enter into a<br>Memorandum of<br>Understanding With the<br>Salvation Army to<br>Increase Food Stocks       | 7m. This recommendation will<br>require further study. The Salvation<br>Army requires approximately<br>\$10,000 in food stocks to reach<br>capacity. City ordinances prohibit<br>any payments to the Salvation<br>Army, as it is not in compliance with<br>Human Rights Commission<br>requirements.--OES |                          | 7m. We work regularly with the<br>Salvation Army, CARD (Collaborating<br>Agencies Responding to Disaster),<br>which includes the San Francisco<br>Food Bank, and other non-profit<br>agencies.--OES, 5/06                                             |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 7n. The City Should<br>Obtain Shelter Start Up<br>Supplies for Each<br>District                                                   | 7n. This recommendation will not<br>be implemented, as it is not<br>warranted or reasonable. Sheltering<br>is a dynamic operation based on<br>need and the availability of<br>resources.--OES                                                                                                            |                          | 7n. OES has hired logistics expert<br>and shelter expert. New Care and<br>Shelter Plan is completed.--Mayor's<br>Policy Index, 1/06<br><br>OES has developed a Disaster<br>Shelter Database with 85 sites--CGJ<br>2005-06 report on Disaster Planning |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 7o. The Police and Fire<br>Departments Should<br>Expand Hazmat<br>Inventories                                                     | 7o. Assuming that the Grand Jury<br>means HAZMAT response<br>inventories and not hazardous<br>materials inventories, this<br>recommendation has been<br>implemented in that City agencies<br>have already begun this process<br>using Federal grant funds, as the<br>Grand Jury was advised.--OES        |                          | 7o. Homeland Security grants are<br>being used to purchase \$25 million<br>dollars worth of equipment to respond<br>to all hazards.--Mayor's Policy Index,<br>1/06                                                                                    |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 7p. The Police, Fire,<br>and Emergency<br>Services Should<br>Analyze the Cost and<br>Benefits of Hazmat<br>Expansion Alternatives | 7p. This recommendation requires<br>further analysis. The Office of<br>Emergency Services is coordinating<br>development of a Homeland<br>Security strategy under the Urban<br>Areas Security Initiative grant<br>program. Expected completion of                                                        |                          |                                                                                                                                                                                                                                                       |



| Year / Report                                                                                      | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                | Initial Responses                                                                                                                                                                                                                                                                                                                                                            | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
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| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 7q. The Fire<br>Department Should<br>Develop a<br>Decontamination Plan                                                                                                                                                                                                                                                                                                                                                                                         | the strategy is October 2003.<br>7q. This recommendation requires<br>further analysis. The Office of<br>Emergency Services is coordinating<br>development of a Homeland<br>Security strategy under the Urban<br>Areas Security Initiative grant<br>program. Expected completion of<br>the strategy is October 2003.--OES                                                     |                          | 7q. The Joint Commission on<br>Accreditation of Healthcare<br>Organizations recommends<br>decontamination capabilities in each<br>hospital. Equipment provided, but<br>training not done.--CGJ 2005-06<br>report on Disaster Planning                                                                                                                                                                                                                                                                                                                                                          |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in SF               | 7. Develop a Proposal<br>for Helicopter Services                                                                                                                                                                                                                                                                                                                                                                                                               | 7r. The Health Department<br>recognizes that a multi-department<br>helicopter program would benefit<br>law enforcement, fire suppression<br>and emergency medical operations<br>with San Francisco.--OES                                                                                                                                                                     |                          | 7r. None of the SF hospitals has a<br>functioning helipad, including SFGH.<br>Planning for a helipad awaits<br>completion of a Draft-Environmental<br>Impact Report and a commitment for<br>project funding.-- CGJ 2005-06<br>report on Disaster Planning                                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003<br>It's a<br>Catastrophe:<br>The State of<br>Emergency<br>Planning in San<br>Francisco | 8a. Departments<br>Should Allocate<br>Funding for Emergency<br>Services                                                                                                                                                                                                                                                                                                                                                                                        | 8a. This recommendation will not<br>be implemented, as it is not<br>warranted or reasonable. Breaking<br>out costs that are considered part<br>of normal operating expenditures<br>would be extremely labor intensive,<br>create an additional administrative<br>burden for City departments, and<br>would not provide any real<br>assistance to emergency<br>response.--OES |                          | OES manages more than \$82 million<br>in federal and state Homeland<br>Security grants, but to date has spent<br>only about \$22.5 million and risks<br>losing much of the grant money when<br>it expires at the end of the year,<br>Rose's report said.... Conroy said<br>there was no reason for the audit to<br>blame her department for the unspent<br>millions in grant money. "San<br>Francisco is no different than the<br>county and city of Los Angeles and<br>other major urban areas in the<br>country" in having lots of unspent<br>grants, Conroy said.--SF Chronicle,<br>5/16/06 |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | 8b. The City Budget<br>Should Include a Line<br>Item for Emergency<br>Services                                                                                                                                                                                                                                                                                                                                                                                 | 8b. This recommendation will not<br>be implemented, as it is not<br>warranted or reasonable. See<br>recommendation 8a.--OES                                                                                                                                                                                                                                                  |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>The State of<br>Emergency<br>Planning in SF                                         | The 2005-06 CGJ report on Disaster Planning finds that there are significant gaps in medical emergency preparedness. This report makes updated recommendations in light of the changes resulting from Homeland Security mandates that have taken place since 2003. These more recent recommendations for the OES, as well as those made by the Budget Analyst on May 15, 2006, should be followed closely by future Civil Grand Jurors.--CGJ 2005-2006 Comment |                                                                                                                                                                                                                                                                                                                                                                              |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

| Year / Report                                                                                 | Recommendations                                                                                                       | Initial Responses                                                                                                                                                                                                        | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
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| 2002 - 2003 It's a Catastrophe: The State of Emergency Planning END                           |                                                                                                                       |                                                                                                                                                                                                                          |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2002 - 2003 Keeping the Faucets Flowing: Water Emergency Preparedness in SF                   |                                                                                                                       |                                                                                                                                                                                                                          |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF                                    | 1a. The Public Utilities<br>Commission Should<br>Prepare a Plan for<br>Implementing System-<br>wide Security Measures | 1a. Agree. Development of a<br>system-wide integrated security<br>plan is in progress.--PUC                                                                                                                              |                          | 1a. SFPUC has made major progress<br>in the \$4.3 billion overhaul of the<br>seismically vulnerable Hetch Hetchy<br>regional water system. Key projects in<br>San Francisco and the region are<br>under construction, including the<br>Sunset Reservoir, which supplies<br>water to 2/3rds of all San<br>Franciscans. --Mayor's Policy Index,<br>January 2006                                                                                                                           |
| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF                                    | 1b. The Public Utilities<br>Commission Should<br>Budget for System<br>Security Upgrades                               | 1b. PUC recognizes need for<br>improved security and related<br>costs.. The 2004-2005 Capital<br>Improvement Program Budget<br>includes \$ for security.<br>Improvement.--PUC                                            |                          | 1b. A more accurate and honest<br>accounting of the costs, projects and<br>schedule for this major capital<br>program has been completed under<br>the General Manager. --Mayor's<br>Policy Index, January 2006                                                                                                                                                                                                                                                                          |
| 2002 - 2003<br>Keeping the<br>Faucets<br>Flowing: Water<br>Emergency<br>Preparedness<br>in SF | 2a. The Public Utilities<br>Commission Should<br>Prepare An Emergency<br>Plan To Restore Water<br>to the City         | 2a. The PUC has already<br>developed a Regional Emergency<br>Response /Recovery Plan that<br>shows how the regional water<br>system would restore water service<br>to suburban wholesale customers<br>and the City.--PUC |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF                                    | 2b. Emergency<br>Services Should<br>Develop a Plan to<br>Supply Water to the<br>City                                  | 2b. Recommendation implemented.<br>The Emergency Operation Plan<br>designates responsibility to the<br>PUC and PUC confirmed<br>commitment to this responsibility --<br>PUC                                              |                          | 2b. A Bay Area Economic Forum<br>study found that San Francisco's 167-<br>mile water-delivery system could be<br>knocked out for as much as 60 days<br>following a major temblor. The<br>system's pipes are decades old and<br>cross three major fault lines as they<br>carry water from the Sierra foothills to<br>city limits. The SFPUC has a \$4.3<br>billion program under way to upgrade<br>the system, but it won't be completed<br>for the next decade.--SF Examiner,<br>4/4/06 |

| Year / Report                                              | Recommendations                                                                                                                 | Initial Responses                                                                                                                                                                                                                                                                                                                        | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF | 2c. The Public Utilities<br>Commission Should<br>Conduct Public<br>Information Campaigns<br>on Storing Water for<br>Emergencies | 2c. Recommendation requires<br>further analysis. Information<br>regarding storage of emergency<br>drinking water is distributed through<br>various agencies- SFFD, Red<br>Cross plus State/ Federal agencies.<br>PUC Communications Division will<br>create quarterly bill inserts for<br>dissemination to all retail<br>customers.--PUC |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF | 3a. The Public Utilities<br>Commission Should<br>Assume Responsibility<br>for the Auxiliary Water<br>Supply System              | 3a/b. PUC developing a Recycled<br>Water Master Plan to be completed<br>by 2004. Plan includes possible<br>use of AWSS. 3a/b. Until sufficient<br>funds are allocated to upgrade the<br>system it will remain in a<br>fragile/increasingly unstable<br>condition.--PUC                                                                   |                          | 3a/b. City to tap fire hydrants for<br>drinking water in major quake.<br>Spigots part of \$1M program to<br>ensure S.F. won't run dry as it almost<br>did in 1906. --SF Examiner, 4/4/06<br><br>Fire chief: Plenty of water in case of<br>disaster. Chief among the sources is<br>the auxiliary water supply, an<br>independent water supply system<br>supplied from three reservoirs around<br>the city--SF Chronicle, 4/7/06                                                                                                                                                                                                           |
| 2002 - 2003<br>Water<br>Emergency<br>Preparedness<br>in SF | 3b. The Public Utilities<br>Commission Should<br>Seek Funds to Repair<br>the Auxiliary Water<br>Supply System                   | 3a/b. PUC developing a Recycled<br>Water Master Plan to be completed<br>by 2004. Plan includes possible<br>use of AWSS. 3a/b. Until sufficient<br>funds are allocated to upgrade the<br>system it will remain in a<br>fragile/increasingly unstable<br>condition.--PUC                                                                   |                          | Chief among the sources is the<br>auxiliary water supply, an<br>independent water system supplied<br>from three reservoirs around the city<br>that was constructed as a response to<br>the water main failures of 1906.<br>Cisterns, fireboats and a suction<br>system that could pull water from the<br>bay back up the auxiliary supply.<br><br>Hayes-White also said her<br>department won't be acting alone, as<br>it did in 1906. She said the Police<br>Department and other emergency<br>response teams from throughout the<br>state are ready to respond, and so<br>are thousands of San Franciscans. --<br>SF Chronicle, 4/7/06 |



| Year / Report                                                                   | Recommendations                                                                                                                                                                                                                                                                                                                                    | Initial Responses                                                                                                                            | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                       | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| 2002 - 2003<br>Water Preparedness in SF                                         | The centennial commemoration of the San Francisco 1906 earthquake brought much attention to the issue of the City's water supply during this CGJ's term. No investigation is necessary at this time. However, because of the utmost importance of this resource in an emergency, monitoring of this topic should continue.-- CGJ 2005-2006 Comment |                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003 Keeping the Faucets Flowing: Water Emergency Preparedness in SF END |                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 2002 -- 2003                                                                    | Preferential Treatment Persists ...Department of Building Inspection                                                                                                                                                                                                                                                                               |                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003<br>Preferential Treatment ... DBI                                   | 1a. Establish a Permit Intake Unit                                                                                                                                                                                                                                                                                                                 | 1a. CGJ recommending a return to an old system... Will not be implemented because it is not warranted or reasonable.--Director DBI.          |                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 2002 - 2003<br>Preferential Treatment ... Department of Building Inspection     | 1b. Develop and Implement Enhanced Permit Tracking                                                                                                                                                                                                                                                                                                 | 1b. Do not understand enhanced. Bar coding technology already in process of being implemented.-- Director DBI                                | 1b. The Board of Supervisors has proposed an application-tracking process to reveal any evidence of favorable treatment by DBI employees.--CGJ 2003-2004<br><br>1b. The bar-coding system to track permits and plans is not yet implemented.--CGJ 2004-2005                                                                                                    | 1b. Recently, DBI added on-line tracking for the public, which includes permit, complaint and expeditor tracking. DBI is studying its processes and will overhaul its entire IT system in FY 05-06.--Mayor's (Newsom) Policy Index, 1/06<br><br>1b. The department is expecting the development of a bar-coding system to track permits and plans to be completed by August 2006.-- CGJ 2005-06 Continuity Report<br><br>1c. Nothenberg's 2004 report of the DBI found that the "executive leadership is often "immobilized" by conflicting political pressures, but provided no substantiation that the agency provides special treatment.-- SF Chronicle, 7/30/04<br><br>The Code of Professional Conduct, though in the process of being modified, has still not been implemented.--CGJ 2005-06 Continuity Report |
| 2002 - 2003<br>Preferential Treatment ... Department of Building Inspection     | 1c. Implement the Draft Code of Professional Conduct That Restate Existing Laws and Regulations                                                                                                                                                                                                                                                    | 1c. Director will send a letter to all employees restating that the provisions of the "Handbook For Professional conduct" are in full force. | 1c. In March 2004, Mayor Gavin Newsom appointed Rudy Nothenberg, retired former Chief Administrative Officer of San Francisco, to investigate whether there is preferential treatment of certain DBI customers, as alleged in the Jury's report.-- CGJ 2003-2004<br><br>1c. Implementing a code of professional conduct is not yet implemented.--CGJ 2004-2005 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |



| Year / Report                                                                           | Recommendations                                       | Initial Responses                                                                                                                                                          | CGJ 2002-2005 Follow-ups                                                                                     | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                       |
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| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 1d. Update the 1969<br>Conflict of Interest<br>Policy | 1d. Will not be implemented as<br>Director does not believe it is<br>warranted at this time.                                                                               |                                                                                                              | 1d. The one-page Permit Processing<br>Code of Conduct (adopted by Ethics<br>Commission January 10, 2005)<br>posted around the DBI offices is in<br>itself inadequate in addressing the<br>need for clear guidance in regard to<br>appropriate protocol...The Statement<br>of Incompatible Activities has yet to<br>be approved by the Ethics<br>Commission.—CGJ 2005-06<br>Continuity Report |
| 2002 - 2003<br>Preferential<br>Treatment...<br>DBI                                      | 1e. Designate a<br>Department<br>Ombudsman            | 1e. Will not be implemented. DBI<br>director does not believe it is<br>warranted or reasonable.                                                                            |                                                                                                              | 1e. A code enforcement group should<br>be developed, and in the event of<br>infractions, there should be protection<br>for whistle-blowers.—CGJ 2005-06<br>Continuity Report                                                                                                                                                                                                                 |
| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 2a. Establish Uniform<br>Quality Control<br>Measures. | 2a. Quality control procedures<br>instituted in response to controller's<br>report are adequate.—DBI                                                                       |                                                                                                              | 2a. As of May 3, 2006, the<br>department has hired two analysts to<br>assist in the development and<br>implementation of quality control and<br>quality assurance programs.—DBI to<br>CGJ                                                                                                                                                                                                    |
| 2002 - 2003<br>Preferential<br>Treatment...<br>DBI                                      | 2b. Conduct random<br>secondary field<br>inspections. | 2b. This recommendation<br>implemented by DBI's system of<br>having its supervisors conduct the<br>inspections for absent line<br>inspectors.—DBI                          | 2b. The following is not yet<br>implemented: Conduct random<br>secondary field inspections.—CGJ<br>2004-2005 | 2b. The department is hiring two<br>analysts to implement programs<br>which include random secondary field<br>inspections.—DBI to CGJ                                                                                                                                                                                                                                                        |
| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 2c. Provide In-House<br>training.                     | 2c. Already implemented.—DBI                                                                                                                                               |                                                                                                              | 2c. DBI is implementing technical,<br>customer, employment development<br>training for new and current<br>employees and increased its training<br>budget by over 400% this year—<br>Mayor's (Newsom) Policy Index, 1/06                                                                                                                                                                      |
| 2002 - 2003<br>Preferential<br>Treatment...<br>DBI                                      | 2d Create formal<br>process for reporting<br>errors.  | 2d. DBI already has an established<br>procedure. Not adverse to<br>instituting a procedure whereby<br>notices in questions are logged for<br>quality control purposes.—DBI |                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                              |

| Year / Report                                                                           | Recommendations                                                   | Initial Responses                                                                                    | CGJ 2002-2005 Follow-ups                                                                                                        | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                         |
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| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 2e. Abandon Voluntary<br>Hiring Freezes.                          | 2e. Already instituted.--DBI                                                                         |                                                                                                                                 | 2e. In FY 05-06, DBI has filled customer service positions with permanent staff instead of temporary staff.<br><br>In FY 05-06, DBI has added 33 permanent FTEs and 7 temporary positions to address permit application backlogs and turnaround time.<br><br>Finally, DBI has recently hired at least 3 manager positions that were previously vacant, to improve accountability. --Mayor's Policy Index, 1/06 |
| 2002 - 2003<br>Preferential<br>Treatment...<br>DBI                                      | 3a. Determine the<br>actual costs of services.                    | 3a. Do not intend to implement by the end of 2003.--DBI.                                             |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 3b. Acquire technology<br>and Equipment for<br>remote data entry. | 3b. Intend to Implement by the end of 2003.--DBI.                                                    | 3b. The purchase of equipment to allow DBI inspectors to enter data from the field has not been implemented yet.--CGJ 2004-2005 | 3b. This is contingent upon finding a permit tracking system that allows remote entry of data. Also, training is needed. An acting director for IT has been hired to assist the department in overhauling the tracking system.--CGJ 2005-06 Continuity Report                                                                                                                                                  |
| 2002 - 2003<br>Preferential<br>Treatment ...<br>Department of<br>Building<br>Inspection | 4a. Require managerial<br>background and<br>competence.           | 4a. Building Inspection Commission (BIC) submits it has always implemented this recommendation.--DBI |                                                                                                                                 | 4a. Overall improvement to management is necessary. Management related factors such as performance appraisals, discipline, and time management should be improved.--DBI to CGJ, 5/06                                                                                                                                                                                                                           |
| 2002 - 2003<br>Preferential<br>Treatment...<br>DBI                                      | 4b. Require and offer<br>relevant management<br>skill training.   | 4b. BIC has always implemented recommendation.--DBI                                                  |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                |
| 2002 - 2003<br>Preferential<br>Treatment ...<br>DBI                                     | 4c. Develop a strategic<br>plan.                                  | 4c. Agree to implement recommendation. --DBI                                                         | 4c. The development of a "strategic plan" has not been implemented yet.-- CGJ 2004-2005                                         | 4c. The strategic plan is summarized in DBI's Efficiency Plan, and is due to be updated and in print by November, 2006.--CGJ 2005-06 Continuity Report                                                                                                                                                                                                                                                         |

| Year / Report                                                                               | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Initial Responses                                                                                                                                                                                       | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                          |
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| 2002 - 2003<br>Preferential Treatment...<br>DBI                                             | The DBI Acting Director is making strong efforts to fulfill the 2003 recommendations. In 2007 or later, a future CGJ should monitor the DBI for the implementation of 1) a Code of Professional Conduct, 2) a Statement of Incompatible Activities, 3) the updated strategic plan, and 4) the overhaul of the information systems infrastructure. See the 2005-2006 CGJ Continuity report for more specific findings and recommendations for the DBI. —CGJ 2005-06 Comment |                                                                                                                                                                                                         |                          |                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>2002 - 2003 Preferential Treatment Persists ...Department of Building Inspection END</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                         |                          |                                                                                                                                                                                                                                                                                                                                                                                 |
| 2002 – 2003                                                                                 | Sharing Camp Mather, SF's Secret Jewel with All San Franciscans                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                         |                          |                                                                                                                                                                                                                                                                                                                                                                                 |
| 2002 - 2003<br>Sharing Camp Mather, SF's Secret Jewel with All San Franciscans              | 1a. Expand the Outreach Program.                                                                                                                                                                                                                                                                                                                                                                                                                                           | 1a. Dept. will increase and improve the advertising/outreach prior to next camp season. Website has been updated and Brochure translated into multiple languages/distributed through non-profits.--SFRP |                          | 1a. The Department mails the Camp Mather information about the application process to each SFUSD school, the SF Public Library branches, and to each recreation center in the city of SF. The department also emailed the Camp Mather application to community newspapers. The Department continues to utilize the website for outreach purposes.--SFRP to CGJ, 3/06.           |
| 2002 - 2003<br>Sharing Camp Mather, SF's Secret Jewel with All San Franciscans              | 1b. Make clear that incomplete applications will be rejected.                                                                                                                                                                                                                                                                                                                                                                                                              | 1b. Implemented - application form has been redone.--SFRP                                                                                                                                               |                          | 1b. Any residents who have not provided proof of residency by the deadline is contacted by phone and will be given a grace period to respond to the phone call. They will be informed that if they do not respond within the required timeframe, then their applications will be rejected from the resident lottery and placed in the non-resident lottery.--SFRP to CGJ, 3/06. |
| 2002 - 2003<br>Sharing Camp Mather                                                          | 1c. Make information available in other languages.                                                                                                                                                                                                                                                                                                                                                                                                                         | 1c. Will be implemented to extend financially feasible. This is a long term project.--SFRP                                                                                                              |                          | 1c. The Camp Mather informational brochure is available on our website in Russian, Chinese and Spanish.--SFRP to CGJ, 3/06.                                                                                                                                                                                                                                                     |
| 2002 - 2003<br>Sharing Camp Mather                                                          | 1d. Make clearer that there is limited space at Camp Mather.                                                                                                                                                                                                                                                                                                                                                                                                               | 1d. Implemented - the application has been redone.--SFRP                                                                                                                                                |                          | 1d. The brochure and informational pages on the Department's website clearly state that space is limited and inform the public of the application                                                                                                                                                                                                                               |



| Year / Report                                                                             | Recommendations                                                                                                                                                                                                                                                                                                             | Initial Responses                                                                                                                                                                                                                                                                                                         | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                          | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                          |
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|                                                                                           |                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                   | and the lottery process. --SFRP to CGJ, 3/06.                                                                                                                                                                                                                                                                                   |
| 2002 - 2003<br>Sharing Camp Mather, SF's Secret Jewel with All San Franciscans            | 1e. Increase campership program spaces.                                                                                                                                                                                                                                                                                     | 1e. If the number of campership applicatlons increase from 20 to 30, the department will double the number of camperships.--SFRP                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                   | 1e. There is one campership given for each camp session, currently 12 total. In 2005, the Department received 18 qualifying campership applications. In 2006, the Department received 13 campership applications.--SFRP to CGJ, 3/06.                                                                                           |
| 2002 - 2003<br>Sharing Camp Mather                                                        | 1f. Provide transportation to qualified campership applicants.                                                                                                                                                                                                                                                              | 1f. Cannot be implemented. Does not have staff/financial resources. Funding from 03-04 budget cut transportation funds.--SFRP                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                   | 1f. This recommendation cannot be implemented, as the Department does not have the staffing or financial resources to provide transportation to Camp Mather for individual participants.--SFRP to CGJ, 3/06.                                                                                                                    |
| 2002 - 2003<br>Sharing Camp Mather                                                        | <u>All of the issues involved with Camp Mather have been addressed satisfactorily. There is no need for further investigation of this jewel of San Francisco. The time and efforts of future civil grand juries will be of greater value through examination of other parts of the City's crown.--CGJ 2005-2006 Comment</u> |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                 |
| 2002 - 2003      Sharing Camp Mather, SF's Secret Jewel with All San Franciscans      END |                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002      Homelessness in San Francisco                                            |                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002<br>Homelessness in San Francisco                                              | 1a. The Board of Supervisors should create a Commission on Homelessness.                                                                                                                                                                                                                                                    | 1a. DPH does not believe that creation of Commission on Homelessness is necessary to achieve this. More coordination among city departments is necessary. Homelessness Coordinating Board is concerned about another level of city bureaucracy. Mayor's office does not agree with creating a Commission on Homelessness. | All required responses were submitted and the Board of Supervisors held a hearing. The City has initiated a central database of beds, as recommended by the Civil Grand Jury, and it reports consideration of other recommendations. However, implementation of the remaining recommendations has not been realized.--CGJ 2002-03 | Homeless progress report after 2 years of 10-year plan to end homelessness: San Francisco reported a 28 percent drop in homelessness last year and another 4 percent this year. Mayor Newsom deserves credit for this progress. But he hasn't won the fight, which still has another eight years to run.--SF Chronicle, 5/19/06 |
| 2001 - 2002<br>Homelessness in San Francisco                                              | 1b. The City should consider establishing a dedicated source of funding for homeless services.                                                                                                                                                                                                                              | 1b. Due to lack of funds, have not made recommendation a reality.--DHS                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                   | The San Francisco Tour Guide Guild, a professional group of tour guides and members of the travel industry, said Care Not Cash was not eliminating homelessness in The City, but attracting more people to San                                                                                                                  |



| Year / Report                             | Recommendations                                                                                                    | Initial Responses                                                                      | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                          |
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|                                           |                                                                                                                    |                                                                                        |                          | Francisco's streets. —Examiner, 5/18/06                                                                                                                                                                                                                                                                                                                                                         |
| 2001 - 2002 Homelessness in San Francisco | 2a. The City should fund the local Homelessness Coordinating Board to effectively fulfill its mandate.             | 2a. Continue to support additional funding.—DHS                                        |                          | Homeless advocates counter that (with Care not Cash) many people are still living on the street, but now with less money.<br>—Examiner, 5/18/06                                                                                                                                                                                                                                                 |
| 2001 - 2002 Homelessness in San Francisco | 2b. The Local Board should prepare an annual report on the State of the Homelessness in the City.                  | 2b. Agree, but need procurement of additional staff.—Local Homeless Coordinating Board |                          | The Mayor's (Newsom) Policy Pledge Index of 1/06 includes many items on homelessness. They include the following:<br><br>A total of 8 Project Homeless Connect events have occurred, and the ninth in February 2006.<br><br>Funds for shelter service enhancements as part of the FY 2005/06 budget. All three of largest shelters provide security.<br><br>More 24-hour multi-service centers. |
| 2001 - 2002 Homelessness in San Francisco | 2c. The Local Board should coordinate with other city departments to perform a census of the homeless populations. | 2c. Agree, but need additional staff.—Local Homeless Coordinating Board                |                          | DHS and DPH are part of the Homelessness Policy Cluster group which meets with the Mayor's staff regularly.—Mayor's Policy Index, 1/06                                                                                                                                                                                                                                                          |
| 2001 - 2002 Homelessness in San Francisco | 2d. The Local Board should develop common methodology for budgetary reporting.                                     | 2d. Agree, but need additional staff.—Local Homeless Coordinating Board                |                          | Established a 10-Year Planning Council of leaders to develop strategy to reduce homelessness and to increase supportive housing.—Mayor's Policy Index, 1/06                                                                                                                                                                                                                                     |
| 2001 - 2002 Homelessness in San Francisco | 2e. The City should pay a stipend to certain members of the Local Board.                                           | 2e. Stipend would have to be universal.—Local Homeless Coordinating Board              |                          | Mayor requested Federal funding for supportive housing projects.<br><br>\$52.7 million in Mayor's 2005/06 budget for supportive housing.— Mayor's Policy Index, 1/06                                                                                                                                                                                                                            |

| Year / Report                                      | Recommendations                                                                                                                           | Initial Responses                                                                                       | CGJ 2002-2005 Follow-ups                                           | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                            |
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| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 2f. The Local Board should identify data resources needed to fulfill its mandate.                                                         | 2f. Confident Local Board will fulfill charter mandate.—Local Homeless Coordinating Board               |                                                                    | As of January 1, 2006, 1,115 homeless individuals have been housed through Care Not Cash since the program began. The homeless caseload on the County Adult Assistance Program has dropped 84%. Homeless Outreach program to expand to more districts.— Mayor's Policy Index, 1/06                                |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 2g. The Local Board should have seats for involved state and federal officials. Additional seats could include a representative from HUD. | 2g. Board supports inclusion of a representative of state government.—Local Homeless Coordinating Board |                                                                    | Project Homeless Connect has proved so successful that officials from cities across America are pouring into SF to copy it for themselves.—The Examiner, 4/20/06                                                                                                                                                  |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 2h. Appointments to the Local Board should be distributed between the Mayor and the Board of Supervisors.                                 | 2h. Already occurs.—Local Homeless Coordinating Board                                                   |                                                                    | The short answer is that San Francisco is funding this housing by cutting other homeless programs. That was the fundamental premise of Care Not Cash: cut a program that gives cash aid to homeless people in favor of housing and take money from one group of people to house another.—SF Bay Guardian, 4/14/05 |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 3. The City should develop an Integrated Information System to track participants.                                                        | 3. City is developing/implementing a HMIS - Homeless Management Information System.—DHS                 |                                                                    | The city has no plan and nothing to offer 80 percent of the homeless besides good words and media spin.—SF Bay Guardian, 5/11/05.                                                                                                                                                                                 |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 4a. Develop an Integrated Central Database of Available Beds.                                                                             | 4a. Through HNMIS City intends to develop an integrated central database.—DPH                           | 4a. The City has initiated a central database of beds.—CGJ 2002-03 |                                                                                                                                                                                                                                                                                                                   |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 4b. The Local Board and City Department should develop minimum standards of operation for all homeless shelters.                          | 4b. Already Federal, State, City minimum standards for all shelters under contract with the City.—DPH   |                                                                    |                                                                                                                                                                                                                                                                                                                   |

| Year / Report                                      | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Initial Responses                                                                                                                                                                                                                                 | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                    | CGJ 2005-2006 Findings                                                                                                                                                                                                         |
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| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 4c. Develop a Bill of Rights for shelter participants                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 4c. Uniform shelter grievance policy currently exists and acts as a "Bill of Rights."--DHS                                                                                                                                                        |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 4d. The Local Board and City departments should develop minimum standards of training for all shelter staff and establish minimum client-staff ratios throughout the entire shelter system.                                                                                                                                                                                                                                                                                                                                       | 4d. Training programs currently in place for all shelters under City Contract. With funding, Consultant will develop a comprehensive training manual to use in shelters.--DHS                                                                     |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | 4e. Make all shelters compliant with the American Disabilities Act.                                                                                                                                                                                                                                                                                                                                                                                                                                                               | 4e. City is compliant with the ADA requirements. Training provided by Mayor's Office on Disability for shelter staff on ADA issues.--DHS                                                                                                          |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Homelessness<br>in SF               | 4f. Convene a Shelter Monitoring Committee                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 4f. This proposal is under consideration.--DHS                                                                                                                                                                                                    |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Homelessness<br>in SF               | 5. The City and other agencies should initiate a publication education.                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 5. Success stories are consistently forwarded to the media outlet in the City.--DHS                                                                                                                                                               |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Homelessness<br>in San<br>Francisco | <p>Since Mayor Gavin Newsom took office, major strides have been made in the homelessness situation in the city. Although he did not go about it in the way the 2001-2002 report suggested, progress is being made. Still, there are critics of the Mayor's Care not Cash and other programs. Perhaps a future Civil Grand Jury could follow up with a new investigation into the status of homelessness in San Francisco and, if need be, make new recommendations based on the new scenario.-- CGJ 2005-2006</p> <p>Comment</p> |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002                                        | Homelessness in San Francisco    END                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002                                        | Hunters Point Naval Shipyard                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard     | 1. The City should establish a Permanent Economic Development and Public Information Office at the Hunters Point Naval Shipyard.                                                                                                                                                                                                                                                                                                                                                                                                  | 1. City Departments are currently working with San Francisco Re-development Agency to address the myriad and complex issues regarding Hunters Point Naval Shipyard. The City does not own any HPS property and has no jurisdiction. (PH) MOED and | Based on our interviews, we have determined the following:<br>SFRA believes Parcel 'A' at Hunters Point should be ready in early 2004. The services provided by the Outreach Office include: 1) day to day operations and distributing badges for personnel | <p>All of the recommendations of the 2001-2002 CGJ report are being satisfactorily addressed.--CGJ 2005-2006</p> <p>Nine years in the making, a sweeping plan to revitalize San Francisco's blighted Bayview-Hunters Point</p> |



| Year / Report                                  | Recommendations                                                                                         | Initial Responses                                                                                                                                                                                                                                                                                                                                                                            | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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|                                                |                                                                                                         | SFRSA to identify /select a contractor to provide necessary services. The different governing groups (RAB, PAC, CAC) result in some inefficiencies in the flow of information. The Agency and City Departments are working to stimulate a better flow of information.--MOEWD                                                                                                                 | visiting the site; 2) coordinating and supporting Citizens Advisory Committee meetings; and 3) outreach and information gathering.-- CGJ 2002-03                                                                                                                                                                                                                                                                                                                                                               | district was approved by the Board of Supervisors. By a 6-3 vote, the board affirmed the plan to give the San Francisco Redevelopment Agency authority over 1,300 acres of residential, commercial and industrial property on the city's southeast side.--SF Chronicle, 5/17/06                                                                                                                                                                                                                                                                                                      |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard | 2a. Implement policies to provide employment and job training to Bayview Hunters Point residents.       | 2a. Mayor's Office of Economic Development (MOED) will implement. The first phase of developments includes from 300,000 to 400,000 square feet of retail, research and development, cultural and educational space including space for local non-profit services and facilities for job-training and education programs and a proposed Bayview Hunters Point Center for Arts and Technology. | 2a. Although members of the 2002-2003 Civil Grand Jury explicitly requested a job description from the SFRA, the Grand Jury was referred to the "Outreach Office," and then in turn, referred to the Board of Supervisors member who represents the Hunters Point area. A job description for workers at the Outreach office has never been provided. ...Therefore, it is our conclusion that improved communication, as envisioned by the 2001-2002 Civil Grand Jury, has not been implemented.-- CGJ 2002-03 | The redevelopment proposal, the largest in The City's history, would be funded by \$188 million in local property taxes and cover more than 1,300 acres. Half of the funding would go toward building 3,700 housing units, from market-rate to heavily subsidized housing. Landscaping, improvements to public parks and streets, and traffic-related changes would cost \$56 million. Nearly \$40 million would go toward economic development in the struggling sector, including business facade improvements, small business assistance and job training.-- SF Examiner, 4/21/06 |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard | 2b. Amend the Memorandum of Agreement with the Navy to include training and Hiring Community Residents. | 2b. Being implemented by MOED. A conveyance agreement is being drafted with the Navy. Agency will implement recommendation for employment training/hiring.                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Base Reuse and Development team is working with the Navy and the Master Developer on development of Hunters Point Shipyard. Parcel A transferred from the Navy Jan 2005. Construction activities began August 2005.--Mayor's Policy Index, 1/06                                                                                                                                                                                                                                                                                                                                      |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard | 3. The Department of Public Health should review completed testing and identify                         | 3. City should work with Navy and environmental regulators to review available test data to determine whether collection, ventilation                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | The Hunters Point Redevelopment plan was adopted in 1969 to replace and rehabilitate former military housing units. The redevelopment                                                                                                                                                                                                                                                                                                                                                                                                                                                |



| Year / Report                                  | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Initial Responses                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | CGJ 2002-2005 Follow-ups | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
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|                                                | additional evaluations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | and/or treatment systems are warranted at the site. DPH is implementing this in coordination with MOED and SFRA.--DPH                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                          | activities in this area, termed Project Area A in this report, are nearly complete. Some elements of blight remain in Project Area A, and a few redevelopment actions remain to be implemented.--The San Francisco Redevelopment Agency, 3/06.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard | 4. DEnv, MOED, and SFRA should require that new businesses in HPS comply with all environmental regulations, and the City should strictly enforce compliance (including imposing monetary penalties). All proposed reuses, both residential and industrial, must be required by the City to commit to environmental compliance and pollution prevention; this commitment must be required of all developers and their contractors. A public process for evaluating industrial facilities wishing to locate at HPS should be established.                                   | 4. MOED will work with SFRA to ensure mechanisms are in place to provide that any future industrial uses at the site are subject to appropriate public review and approval process. MOED is working with DPH, PUC, DPW, and SFRA to explore the feasibility of developing/implementing a Geographic Information System for HPS which would provide City workers, private developers/general public up-to-date information about the environmental conditions in soil/ground water at HPS. SFRA and MOED completed Phase I conceptual framework, which outlined the key business terms for the first phase of land development. Final transaction documents expected to be complete by end of 2003. SGWMP almost complete and will be incorporated through ordinance when Development Agreements are approved. |                          | <ul style="list-style-type: none"> <li>• The SFRA's goals and objectives: <ul style="list-style-type: none"> <li>• Providing opportunities for participation by owners in the redevelopment of their properties.</li> <li>• Increasing the community's supply of housing.</li> </ul> </li> <li>• Strengthening the economic base of the Project Area and the community.</li> <li>• Supporting locally owned small businesses and local entrepreneurship.</li> <li>• Eliminating blighting influences and correcting environmental deficiencies within the Project Area, including, but not limited to, abnormally high vacancies, abandoned, deteriorated and dilapidated buildings, incompatible land uses, depreciated or stagnant property values, and inadequate or deteriorated public improvements, facilities and utilities.--The San Francisco Redevelopment Agency, 3/06</li> </ul> |
| 2001 - 2002<br>Hunters Point<br>Naval Shipyard | All of the recommendations of the 2001-02 CGJ are being satisfactorily addressed. The communication problems among the various agencies, as noted in the initial response and the 2002-03 CGJ follow-up, no longer appear to be an issue. See the 2005-06 CGJ Continuity report for more information. A future CGJ may wish to monitor the implementation of the long-awaited Redevelopment Plan. The CGJ should watch that the plan accomplishes its objective of renewing the neighborhoods with regard to the well-being of the residents there.--CGJ 2005-2006 Comment |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 2001 - 2002                                    | Hunters Point Naval Shipyard    END                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

| Year / Report                                                   | Recommendations                                                         | Initial Responses                                                                                                     | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                              | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                       |
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| 2001 - 2002                                                     | Outdoor Advertising Sign (Billboard) Enforcement                        | Outdoor Advertising Sign (Billboard) Enforcement                                                                      |                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                              |
| 2001 - 2002<br>Outdoor Advertising Sign (Billboard) Enforcement | 1. Require annual renewals of permits and charge for inspections.       | 1. Legislation being drafted by Board and City Attorney.—Planning Department                                          | All required responses were received and the Board of Supervisors held a hearing. Implementation of the recommendations is not complete in a number of areas due to budgetary constraints.—CGJ 2002-03                                                | The Dept.'s proposed budget for FY 06-07 adopted by the Planning Commission in February 2006 includes staffing and other costs associated with implementation and cost recovery from fees for sign inventory analysis and verification as mandated in proposed amendments to Planning Code Section 604.—Planning Dept. to CGJ, 4/06          |
| 2001 - 2002<br>Outdoor Advertising Sign (Billboard) Enforcement | 2a. Assign distinct numerical designations to all outdoor sign permits. | 2a. Information Services will work with DBI to improve coordination of data and tracking of permits.—Planning Dept    | Planning Dept should prepare a Work Plan that identifies steps the Department will take to complete the implementation of the agree-upon recommendations.—CGJ Continuity Report, 2004-05                                                              | The Department prepared a work plan on completion of a General Advertising Sign inventory in 2005, including determinations of legality and follow-up enforcement work. This became the basis for the Dept. and Planning Commission fee recommendations included in legislation introduced by Supervisor Peskin.—Planning Dept. to CGJ, 4/06 |
| 2001 - 2002<br>Outdoor Advertising Sign (Billboard) Enforcement | 2b. Count and Ascertain the Permit History of Existing Billboards       | 2b. Code enforcement staff trying to design a survey. Lack of staff makes for a challenging task.—Planning Department | 2b. Two staff members of the Planning Department monitor all the billboards. Progress has been made in creating an inventory of all billboards in the City.—CGJ 2002-03<br><br>No significant progress towards inventory or billboards.—CGJ 2004-2005 | The concept of "start up" monies is encompassed in the augmented code enforcement staffing plan which is proposed to cover three years and includes Planner IIs, Planner Is and interns.—Planning Dept. to CGJ, 4/06                                                                                                                         |
| 2001 - 2002<br>Outdoor Advertising Sign (Billboard) Enforcement | 3. Hire a temporary staff person to conduct the Census                  | 3. Hope renewal fees will facilitate this position.—Planning Dept.                                                    | 3. Staffing vacancies were frozen and funding not available to provide personnel to take on extra duties.—CGJ 2004-2005                                                                                                                               |                                                                                                                                                                                                                                                                                                                                              |
| 2001 - 2002<br>Outdoor Advertising Sign (Billboard) Enforcement | 4. Immediately coordinate enforcement with the state.                   | 4. Code Enforcement Planners already with Caltrans.—Planning Dept.                                                    |                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                              |

| Year / Report                                                            | Recommendations                                                                                                                                                                                                                                                                                                                                                         | Initial Responses                                                                                                                                                                                                               | CGJ 2002-2005 Follow-ups                                                                                         | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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| 2001 - 2002<br>Outdoor<br>Advertising<br>Enforcement                     | 5. Prepare a pamphlet explaining relevant rules for sign regulation.                                                                                                                                                                                                                                                                                                    | 5. Code Enforcement already working on such a guide.—<br>Planning Department                                                                                                                                                    |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002<br>Outdoor<br>Advertising<br>Sign (Billboard)<br>Enforcement | 6. Establish a 24 - hour Phone Line for Sign complaints                                                                                                                                                                                                                                                                                                                 | 6. Phone line exists but not publicized until sign/enforcement staffing in better balance with volume of complaints.—Planning Dept                                                                                              |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002<br>Outdoor<br>Advertising<br>Enforcement                     | <u>Almost four years after the publication of the Billboard Enforcement report, the Planning Department offers a work plan that proposes to make substantial progress toward enforcement of outdoor advertising (billboard) regulations in the Planning Code. A future grand jury should monitor the effectiveness of this plan after a year.—CGJ 2005-2006 Comment</u> |                                                                                                                                                                                                                                 |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002                                                              | <b>Outdoor Advertising Sign (Billboard) Enforcement    END</b>                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                 |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002                                                              | Professional Services Contracting I                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                 |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002<br>Professional<br>Services<br>Contracting I                 | 1. Purchasing & HRC (Human Rights Commission) should review purchasing instructions to balance price competition with preventing discrimination. Depts. should expand purchasing training.                                                                                                                                                                              | 1. Office of Contract Administration will establish a Professional Service contract Unit to address issues and build on work of city's Non-Profit Task force. Unit will implement Task Force's recommendations.                 | Majority of major recommended changes implemented immediately. Some issues remain to be addressed.—CGJ 2002-2003 | The Office of Contract Administration is working with DTIS to develop a central repository system for use by City departments that contract with non-profits. As an intermediate option, OCA is working with other City departments to access DPH's COOL (contracting on-line) system (DPH's central repository for shared non-profit-related documents). DPH, DCYF, HSA and Controller's office staff have access and have received an orientation to the COOL system.—<br>Mayor's (Newsom) Policy Index, 1/06 |
| 2001 - 2002<br>Professional<br>Services<br>Contracting I                 | 2. City Admin. should explain OCA organization, especially as it relates to Charter and Code provisions.                                                                                                                                                                                                                                                                | 2. City Administrator will issue notice to all departments to announce the establishment/purpose of the PSC unit within OCA. OCA regularly publicizes its new department names and functions in all city directories/contracts. |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 2001 - 2002<br>Professional<br>Services                                  | 3. Purchasing should review contract before they are sent to the                                                                                                                                                                                                                                                                                                        | 3. OCA has issued a Checklist for Professional Services Contracts and Professional Services                                                                                                                                     |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |



| Year / Report                                   | Recommendations                                                                                                     | Initial Responses                                                                                                                                                                | CGJ 2002-2005 Follow-ups                                                                                                                                                                                 | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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| Contracting I                                   | suppliers for signature.                                                                                            | Contracts for Individuals, including guidelines to comply with regulations implemented by CSC, HRC, City Attorney, and OCA.                                                      |                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2001 - 2002 Professional Services Contracting I | 4. The Board of Supervisors should enact legislation governing Grants.                                              | 4. OCA - pilot project to streamline application compliance.                                                                                                                     | 4. No action taken on setting grant-issuing standards. Also, contracting requisites continue to be increasingly burdensome.--CGJ 2004-05 report "What is the Difference between a Contract and a Grant?" |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 2001 - 2002 Professional Services Contracting I | 5. Purchasing should be audited every three years.                                                                  | 5. No response on file by OCA. BOS agrees in general.                                                                                                                            |                                                                                                                                                                                                          | 5. Once a year, the Controller, in conjunction with the Office of Contract Administration, performs citywide post-audits of financial transactions by city departments. This includes purchasing transactions. --Mayor's Policy Index, 1/06                                                                                                                                                                                                                                        |
| 2001 - 2002 Professional Services Contracting I | 6a. Task Force should consider standardizing forms and procedures. Various reviews could be conducted concurrently. | 6a. City Non-Profit Contracting Task Force established committee to correspond with the CGJ recommendations in 2001 and was functioning by 2003.                                 |                                                                                                                                                                                                          | 6a. OCA is also chairing a non-profit review panel that oversees streamlining of the contracting procedures.--Mayor's Policy Index, 1/06<br><br>6a. Pursuant to the Non-profit Contracting Task Force Recommendations, the Dept. of Public Health, Dept. of Human Services, MOCD, DCYF, Office of Contract Administration and the Controller City Auditor's Division are developing protocols to monitoring non-profit professional service contracts.--Mayor's Policy Index, 1/06 |
| 2001 - 2002 Professional Services Contracting I | 6b. Expand Website use for Contracting                                                                              | 6b. As of 2003 there was no funding to implement this recommendation. The OCA and DPH have implemented systems for filing on line contracts. Controllers Office's strategic plan |                                                                                                                                                                                                          | 6b. OCA issued a June 2005 Request for Information for vendors to create an on-line bidding process.--Mayor's Policy Index, 1/06                                                                                                                                                                                                                                                                                                                                                   |



| Year / Report                                              | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Initial Responses                                                                                                                                                                                                                                                                                                                                                                                           | CGJ 2002-2005 Follow-ups                                                                                         | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                              |
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| 2001 - 2002 Professional Services Contracting I            | 7. Controller should designate one person to handle whistleblower info and publicize access.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 7. Brochure issued highlighting how employees/public can contact city officials if there has been misconduct related to city contracting. If reprinted, CGJ will be mentioned.—Controller's Office                                                                                                                                                                                                          |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2001 - 2002 Professional Services Contracting I            | Future CGJs wishing to pursue contracting issues, especially related to discrimination and non-profits, should consider this report along with the CGJ 2002-2003 report, "Human Rights Commission and the Minority Business Ordinance," and the CGJ 2004-2005 reports, "City Contracting and Affirmative Action" and "What is the Difference Between a Contract and a Grant?" Some legal issues on these subjects remain unsettled. In addition to the directly-affected departments, the Sunshine Ordinance Task Force and the SEIU labor organization, local 790, are also potential sources of information, especially on grants and non-profits. Jurors are advised to consider the City's political climate before embarking on a quest for change.— CGJ 2005-2006 Comment |                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>2001 - 2002 Professional Services Contracting I END</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2001 - 2002 Professional Services Contracting II           | 1. Update regulations to address contracts under \$50,000 and sole source contracts.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 1. Office of Contracts has promulgated rules/regulations regarding professional service contracts below \$50,000 and has distributed these rules to all departments.                                                                                                                                                                                                                                        | Majority of major recommended changes implemented immediately. Some issues remain to be addressed.—CGJ 2002-2003 | 1a. The Mayor issued a March 2004 directive to the Office of Contract Administration to implement a new business model for contracting and procurement. Mayor asked the Controller to review the process by which sole source contracts are awarded in all city departments.— Mayor's (Newsom) Policy Index, 1/06                                                                                                                   |
| 2001 - 2002 Professional Services Contracting II           | 2. Audit all professional service contracts below \$50,000.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 2. The Controller's Office is working on developing approaches that will allow us to expand the number of audits we perform of professional services contractors in areas we find most critical. In 2003, the Controller's Audits division conducted review for professional services contracting and issued a report that addressed Sole Source Contracts. That showed some departments were not complying |                                                                                                                  | The OCA developed a computerized database...Additionally, in conjunction with the Controller's Office, the "purchasing authority" codes were updated to help departments properly categorize sole source transactions in ADPICS, the City's central purchasing system. This upgrade allows the City to produce summary reports of sole source contracts that can be made available regularly as needed.— Mayor's Policy Index, 1/06 |

| Year / Report                                        | Recommendations                                                                                                                                                                                                                                                                                                                                          | Initial Responses                                                                                                                                                                                                                                                                                                               | CGJ 2002-2005 Follow-ups                                                                           | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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|                                                      |                                                                                                                                                                                                                                                                                                                                                          | with City ordinances/regulations with respect to competitive solicitations for services.                                                                                                                                                                                                                                        |                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2001 - 2002 Professional Services Contracting II     | 3. Provide an annual report on sole sources contracts.                                                                                                                                                                                                                                                                                                   | 3. Due to system limitations, a comprehensive report on sole source contracts including number value and rationale cannot be created. It would be more efficient to enhance our automated systems so that data on sole source contracts is captured when contract information is first entered.                                 |                                                                                                    | 3. OCA sends monthly reports of sole source contract waivers to the Human Rights Commission. --Mayor's Policy Index, 1/06<br><br>OCA works with departments to identify all possible opportunities to bid out sole source contracts before they are renewed. --Mayor's Policy Index, 1/06                                                                                                                                                                                                                                                                                                                                                |
| 2001 - 2002 Professional Services Contracting II     | The CGJ heard complaints of City contracting while studying another topic. A good source for future grand juries wishing to take up this subject, especially regarding sole-source contracting, would be the City's labor unions, beginning with the International Federation of Professional and Technical Engineers, Local 21. --CGJ 2005-2006 Comment |                                                                                                                                                                                                                                                                                                                                 |                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2001 - 2002 Professional Services Contracting II END |                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                 |                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2001 - 2002 San Francisco Adult Probation Department |                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                 | All required responses were submitted and the Board of Supervisors held a hearing. --CGJ 2002-2003 | 1. The Adult Probation Department continues to be the subject of mandated requested cuts for the last 3 budget cycles to the present budget cycle. Caseloads in Community Services average 280 cases per officer. In the Domestic Violence Unit the average is 120 cases per officer. --APD to CGJ, 4/06<br><br>District Attorney Harris named the city's adult probation office as a soft spot in San Francisco's law enforcement system, saying its budget hasn't been maintained commensurate with its workload and, as a consequence, criminals released from jail aren't being monitored as they should be. --SF Chronicle, 4/24/06 |
| 2001 - 2002 San Francisco Adult Probation Department | 1. The Mayor and Board of Supervisors should consider the total amount needed to fund all parts of the criminal justice system.                                                                                                                                                                                                                          | 1. The past 5 years an inter-departmental effort to better coordinate data systems and track offenders from booking through probation services has been made. Collective funding efforts included development of the Network Project where services were coordinated to women on probation with substance abuse problems. --APD |                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

| Year / Report                                                 | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                              | Initial Responses                                                                                                                                                                                                                                                                  | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                               | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                                                                                              |
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| 2001 - 2002<br>San Francisco<br>Adult Probation<br>Department | 2. Accelerate the commitment to community - based probation activities                                                                                                                                                                                                                                                                                                                                                                                       | 2. BOS committee requested the APD prepare an outreach strategic plan regarding the placement of Community Services Officers in the community they serve. A new case management system was implemented. Lack of funds hamper department from securing sites at minimal costs.--BOS | 2. The Adult Probation Department reports that it has submitted to the Sheriff's department a proposal to fund staff for a community based program. This program was scheduled to begin April 2003. Due to budgetary constraints, the program will not begin in fiscal year 2003-2004.--CGJ 2002-2003: | 2. Often times, the officers are focused in compiling their Court ordered reports before their Court dates which is a statutory mandate for the department and this is at the expense of spending time in the community. The department continues to be a reactionary function in response to compiling reports for clients who suffer new arrests in the community rather than an intervention process which is community based.--APD to CGJ, 4/06 |
| 2001 - 2002<br>San Francisco<br>Adult Probation<br>Department | 3. Hire more Spanish-speaking probation officers                                                                                                                                                                                                                                                                                                                                                                                                             | 3. Dept. currently complies. There are 19 Spanish-speaking Probation Officers.--APD                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                        | 3. There are currently 10 case loads in the Supervision Divisions which are Spanish Speaking case loads with Spanish Speaking officers. The Investigations Division which primarily writes sentencing reports has 4 Spanish Speaking officers.--APD to CGJ, 4/06                                                                                                                                                                                    |
| 2001 - 2002<br>San Francisco<br>Adult Probation<br>Department | 4. Adopt measures that repeat offenders are assigned to the same probation officers and judges.                                                                                                                                                                                                                                                                                                                                                              | 4. Staff use the case management system to provide opportunities to assign the same judge/probation officer.--APD                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                        | 4. The department has control over assigning cases and in specialized caseloads such as those cases in the Intensive Services Unit or in the Domestic Violence Unit, the process of reassignment is being done but in the higher volume caseloads such as those in the Community Services Division where the average case load is 280, this assignment process is based on capacity.--APD to CGJ, 4/06                                              |
| 2001 - 2002<br>San Francisco<br>Adult Probation<br>Department | <u>The adult probation department lacks adequate funding and personnel to properly fulfill its objectives. This situation should be followed because of the importance of the department to the overall criminal justice system, to the adequate monitoring of the probationers, and to safety on the streets. An investigation by a future CGJ is unnecessary, but focus on an adequate budget for the department should remain.--CGJ 2005-2006 Comment</u> |                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

2001 - 2002 San Francisco Adult Probation Department END



| Year / Report                                 | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Initial Responses                                                                                                                                                   | CGJ 2002-2005 Follow-ups                                                                                                                                                                                                                                                                                                           | CGJ 2005-2006 Findings                                                                                                                                                                                                                                                                                                                                                    |
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| 2001 - 2002                                   | San Francisco General Hospital                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |
| 2001 - 2002<br>San Francisco General Hospital | 1. Rebuild SFGH; must be rebuilt to meet State standards effective 2008 (2013 with extension).                                                                                                                                                                                                                                                                                                                                                                                                                                           | 1. In Jan. 2001, the S.F. Health Commission approved Resolution #1-01, which supports the rebuilding of S.F.G.H.--DPH                                               | 1. While it is reported that substantial progress has been made in developing a plan for seismic upgrade or construction of a new San Francisco General Hospital, the failure to present a bond issue to the citizens for approval and move forward with the project could result in the unnecessary closing of SFGH.--CGJ 2002-03 | 1. Mayor Gavin Newsom said that San Francisco voters would not be asked to back a multimillion bond measure this year to rebuild San Francisco General Hospital. Current projections say the project could cost as much as \$808 million. General Hospital must be rebuilt to comply with state earthquake-safety regulations or face being closed.--SF Chronicle, 2/8/06 |
| 2001 - 2002<br>San Francisco General Hospital | 2a. Complete a master plan for SFGH.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 2a. Agree that unified support necessary for rebuilding SFGH while striving to meet legislated 2013 deadline.                                                       |                                                                                                                                                                                                                                                                                                                                    | Newsom proposed spending \$25 million on such expenses as architectural designs, engineering plans and an environmental study to come up with an actual figure for how much reconstruction would cost.--SF Chronicle, 2/8/06                                                                                                                                              |
| 2001 - 2002<br>San Francisco General Hospital | 2b. Develop a vision of San Francisco's health care needs.                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | 2b. All responders agree shared vision needed. Mayor noted financial factors to consider.                                                                           |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |
| 2001 - 2002<br>San Francisco General Hospital | 3. Maintain SFGH-UCSF affiliation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 3. Throughout the long range planning process, preservation of this relationship has been prioritized as one of the necessary conditions of a rebuild of SFGH.--DPH |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |
| 2001 - 2002<br>San Francisco General Hospital | 4. Educate public on importance of SFGH to Bay Area.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 4. Efforts to educate the public are ongoing/continuous.--DPH                                                                                                       |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |
| 2001 - 2002<br>San Francisco General Hospital | <p>The need for a trauma center and city hospital is paramount to the health care of the citizens of San Francisco. For five years, the city has failed to make progress toward having SFGH rebuilt before the 2013 state mandated deadline. As delays occur, the cost for the rebuild will escalate and the deadline may pass, forcing the subsequent closure of SFGH. The Civil Grand Jury should stay on top of this and apply whatever pressure it can to assure the safety of the citizens of this city.--CGJ 2005-2006 Comment</p> |                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |
| 2001 - 2002                                   | San Francisco General Hospital      END                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                           |



## GLOSSARY

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|--------------|-------------------------------------------------------------------------|
| ADPICS ..... | Advanced Purchasing Inventory Control System                            |
| ALS .....    | Advanced Life Support                                                   |
| APD .....    | Adult Probation Department                                              |
| AWSS .....   | Alternate Water Supply Source                                           |
| BOC .....    | Board of Corrections                                                    |
| BOS .....    | Board of Supervisors                                                    |
| CCSF .....   | City and County of San Francisco                                        |
| CGJ .....    | Civil Grand Jury                                                        |
| CSC .....    | Civil Service Commission                                                |
| DA .....     | District Attorney                                                       |
| DBE .....    | Disadvantaged Business Enterprise                                       |
| DBI .....    | Department of Building Inspection                                       |
| DCYF .....   | Department of Children, Youth, and the Families                         |
| DEnv .....   | Department of the Environment                                           |
| DHS .....    | Department of Human Services                                            |
| DPH .....    | Department of Public Health                                             |
| DPW .....    | Department of Public Works                                              |
| DTIS .....   | Department of Telecommunications and Information Services               |
| ECD .....    | Emergency Communications Department                                     |
| EMS .....    | Emergency Medical Services                                              |
| FTE .....    | Full-time Equivalent (for personnel)                                    |
| FY .....     | Fiscal Year                                                             |
| HPS .....    | Hunters Point Naval Shipyard                                            |
| HRC .....    | Human Rights Commission                                                 |
| HSA .....    | Human Services Agency                                                   |
| IAFF .....   | International Association of Fire Fighters                              |
| ICS .....    | Incident Command System                                                 |
| JUSTIS ..... | Justice Tracking Information System                                     |
| LBE .....    | Local Business Enterprise                                               |
| MBO .....    | Minority Business Ordinance                                             |
| MOED .....   | Mayor's Office of Economic Development                                  |
| MOEWD .....  | Mayor's Office of Economic and Workforce Development                    |
| MOU .....    | Memorandum of Understanding                                             |
| MRF .....    | Member Response Form, investigative questionnaires to officers from OCC |

NERT ..... Neighborhood Emergency Response Team  
 OCA ..... Office of Contract Administration  
 OCC ..... Office of Citizens Complaints  
 OES ..... Office of Emergency Services  
 OES/HS ..... Office of Emergency Services/Homeland Security  
 PSAP ..... Public Safety Answering Point  
 PSC ..... Professional Services Contracts  
 PUC ..... Public Utilities Commission  
 SARB ..... School Attendance Review Board  
 SEIU ..... Service Employees International Union  
 SEMS ..... Standardized Emergency Management Systems  
 SFFD ..... San Francisco Fire Department  
 SFGH ..... San Francisco General Hospital  
 SFPD ..... San Francisco Police Department  
 SFRA ..... San Francisco Redevelopment Agency  
 SFRP ..... San Francisco Recreation and Parks  
 SFUSD ..... San Francisco Unified School District  
 SST ..... Student Success Team

## RESOURCES

### CORRESPONDENCES

San Francisco Adult Probation Department  
San Francisco Department of Elections  
San Francisco Department of Planning  
San Francisco Human Rights Commission  
San Francisco Police Commission  
San Francisco Police Department  
San Francisco Recreation and Parks

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### INTERVIEWS

Department of Building Inspection  
International Federation of Professional & Technical Engineers (IFPTE)  
Mayor's Office, City and County of San Francisco  
Office of Contract Administration/Purchasing  
Office of the Controller, City and County of San Francisco  
Restoration Advisory Board (Hunters Point)  
San Francisco Fire Department

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